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ABSTRACT

The monograph presents 16 issue papers prepared by the California Commission for the Review of the Master Plan for Higher Education. Papers have the following titles: "Access to Postsecondary Education in California"; "Financing Postsecondary Education in California"; "Graduate Education and Research in California Postsecondary Educational Institutions"; "Coordinating California's Systems of Higher and Lower Education"; "Retention in California Postsecondary Educational Institutions"; "Faculty Resources in California Postsecondary Educational Institutions"; "Budgeting State Support for California Public Postsecondary Education"; "Vocational Education and Training in California"; "Governance of California Postsecondary Education"; "Interdistrict Attendance among the California Community Colleges"; "Undergraduate Education in California Postsecondary Educational Institutions"; "State-Supported Noncredit Instruction in the Community Colleges"; "Adult Literacy and Postsecondary Education in California"; "Continuing Education in California's Four-Year Colleges and Universities"; "The New Instructional Technologies in California Postsecondary Educational Institutions"; and "Accreditation and Licensure of California Postsecondary Educational Institutions." References accompany most papers. Appended are the minutes of Commission meetings and Commissioner comments and dissents. (DB)

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ISSUE PAPERS
THE MASTER PLAN RENEWED

UNITY, EQUITY, QUALITY, AND EFFICIENCY IN CALIFORNIA POSTSECONDARY EDUCATION

Commission for the Review of the
Master Plan for Higher Education

HE 021 038

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ISSUE PAPERS

THE MASTER PLAN RENEWED

UNITY, EQUITY, QUALITY, AND EFFICIENCY IN CALIFORNIA POSTSECONDARY EDUCATION

COMMISSION FOR THE REVIEW OF THE
MASTER PLAN FOR HIGHER EDUCATION

Sacramento, California
August 1987

HE 021 038

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August 31, 1987

This document contains the issue papers prepared by staff and consultants for the Commission's use in its examination of the principal policy issues confronting postsecondary education in California, public and private. These 16 issue papers underwent extensive review and debate by the Commission, with most receiving two readings before final selection of the policy options that were included in the first draft of the Commission's report.

Each staff member had primary responsibility for specific issues. Access (#1), Retention (#5), and Undergraduate Educat[illegible] (#11) were the primary responsibility of Ronald W. Saut[illegible] Financing (#2), Budgeting (#7), Governance (#9), and Interdistrict Attendance (#10) were the primary responsibility of Jerome Evans; Faculty Resources (#6) was the primary responsibility of Robert S. Palacio; and New Instructional Technologies (#15) was the primary responsibility of Julia B. Fahrenbruch.

The issue papers on Graduate Education (#3), Coordinating California's Systems of Higher and Lower Education (#4), Vocational Education and Training (#8), State-Supported Noncredit Instruction (#12), Adult Literacy (#13), Continuing Education (#14), and Accreditation and Licensure (#16) were prepared by consultants who are identified in each issue paper. These papers were, however, extensively reviewed, discussed, and edited in consultation with Commission staff.

The minutes of the April 1986 through July 1987 meetings of the Commission are appended to this document to assist the reader in understanding the manner in which the Commission selected the issues addressed and the policy recommendations made in its final report. Also appended are letters from Chairman J. Gary Shansby, Commissioner Glenn Rothner, Commissioner Harold Williams, and a previously unpublished letter from Commissioner Henry Der.

The report, The Master Plan Renewed: Unity, Equity, Quality, and Efficiency in California Postsecondary Education, and a set of background papers (discussed early in the review process) are available as separate documents.

Lee R. Kerschner
Executive Director

ISSUE PAPERS

THE MASTER PLAN RENEWED

UNITY, EQUITY, QUALITY, AND EFFICIENCY IN CALIFORNIA POSTSECONDARY EDUCATION

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ISSUE PAPER NO. 1

ACCESS TO POSTSECONDARY EDUCATION IN CALIFORNIA: ELIGIBILITY FOR ADMISSION; GUARANTEED ADMISSION UPON MEETING ELIGIBILITY REQUIREMENTS; TRANSFER; MEETING THE NEEDS OF OLDER, PART-TIME AND OTHER NONTRADITIONAL STUDENTS; EDUCATIONAL EQUITY AND ACCESS TO THE BACCALAUREATE.

Introduction

In the 1960 Master Plan, the Survey Team specifically sought to assure a place somewhere in California's higher education system for all citizens motivated to pursue postsecondary education and capable of benefiting therefrom. As codified by the Legislature, the issue became the ability of any California resident "who has the capacity and motivation...to *enroll* (emphasis added) in an institution of higher education (*Education Code*, Section 22521). In this particular limited sense "access has been achieved" (*The Challenges Ahead: A Planning Agenda*, CPEC, p.19).

Through 106 Community Colleges, 19 campuses of the California State University, 9 University of California campuses, numerous off-campus centers in remote areas, and a wide variety of private institutions, broad geographical access has virtually been guaranteed (although there are a few rural areas in the state for which this may not be true). There are sufficient public and private institutions, faculty, and programs so that almost every adult California resident may participate in undergraduate or vocational education. Open admission to the Community Colleges and a clear opportunity to transfer to four-year institutions, has -- theoretically at least -- provided an entry point into the system of higher education.

In its 1986 report, *The Challenge of Change*, the Commission for the Review of the Master Plan for Higher Education has reaffirmed "open access" to the California Community Colleges as a "cornerstone" in the state's educational equity efforts (p.6). While the Commission has the option to reopen that question, this paper is predicated on the assumption that the issue has been resolved and that the broadest questions of geographical access and guaranteed entry into the larger system need not be pursued here. Thus, this paper is concerned primarily with access issues as they relate to the four-year institutional level -- particularly in meeting the needs of a society rapidly changing in its socioeconomic and ethnic makeup.*

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*A detailed overview of access and educational equity should include discussion of prior preparation in the public schools, state finance, and student financial aid. Given the importance of adequate preparation and the very significant roles that CSU and UC can play in helping to ameliorate many of the public school problems, staff commissioned a separate, comprehensive paper that looks at public school issues and their policy implications for the public universities (Issue Paper No. 4).

In addition, the issues of state finance and student financial aid also relate to institutional funding considerations. Thus, issue papers number 2 and number 7 examine overarching institutional financial concerns.

Issue 1: **What public policy should the Commission recommend regarding the reaffirmation or alteration of the 1960 Master Plan policy of establishing the top one-eighth and the top one-third of California high school graduates as eligible for UC and CSU respectively.**

Background

The 1960 Master Plan recommended that the University select its freshmen from the top one-eighth (12.5%) and the State University from the top one-third of the graduates of California high schools. Development of specific criteria to achieve the recommended eligibility pools was left to the individual segments. Provision was also made for a limited number of exceptions (2%) to the regular admissions standards. Except for increasing the percentage of exceptions (special-action), the segments have closely adhered to the recommendations since 1962.

Underlying the Survey Team's recommendations were several factors: a desire to reduce the deleterious competition for students among the segments; a need to avoid excessive duplication or overlapping of programs and services; and the expectation that clearly differentiating many functions and responsibilities would eliminate the need for any one segment to try and be all things to all people. There was also serious concern about demographic projections showing the imminent "baby-boom bulge," and the potential for enrollments to overwhelm many of the public universities and colleges by the 1970's. Given that the Community Colleges were "open" by law, the Survey Team also saw a marked opportunity, through tight admissions standards, to shift much of the coming lower-division enrollments to those colleges where the cost-per-student was significantly lower than at the four-year institutions.

In developing their thinking, members of the Survey Team seem to have seen few barriers to meeting the new entrance requirements other than those of incompetence or lack of desire. Thus, although they mention problems of "early marriage", "military service", and "shortage of financial resources" (for which they did recommend State scholarships) [p.77], the Team otherwise refers to "lack of incentive" (p.77), "lack of capacity" and "lack of will" (p.67) as the significant issues in access and retention. After arguing that the open admission Community Colleges could only protect their "quality" by "applying retention standards rigid enough to guarantee that taxpayers' money is not wasted on individuals who lack capacity or the will to succeed in their studies," the Survey Team went on to assert that the public universities have a "heavy obligation to restrict the privilege of entering" to only those who are significantly above average in the college-age group (p.66). This assumption was reflected most significantly in the new standards for CSU whose eligibility pool shrank from roughly 50 to 33 percent (the University's pool remained fairly constant with a change from approximately 15 to 12.5 percent - p.72).

In the 1980's, there are many barriers to postsecondary education in addition to issues of will or motivation. Socioeconomic factors, the decline of the public schools, early tracking of minority students, immigration, language difficulties, and diverse cultural assumptions also play important roles in determining who attends college. Given that under current circumstances many are effectively cut off from higher education, CPEC has asked whether the "1960 Master Plan guidelines (should) be revised to enlarge the eligibility pools of high school graduates from which first-time freshmen are admitted" to the universities, whether the universities should "experiment with...more subjective approaches to the measurement of potential for academic success," and whether "some weight should be given to noncognitive characteristics in making admissions decisions" (ibid., p.97).*

Issue Elaboration

For the past 25 years, the differentiated admissions policies of the Master Plan have provided a quite orderly basis for the development of educational facilities, programs, and resources at the public four-year institutions. The differentiation has greatly reduced excessive competition and has allowed more cost-efficient specialization at all levels of public post-secondary education. The result has been the development of highly respected national institutions, quite selective in outlook, which are sought after by many of the world's best students. If the Survey Team were to be reconvened, they would almost definitely argue as they did in 1960 that "the quality of an institution... (is) determined to a considerable extent by the abilities of those it admits and retains as students" (p.66).

As to the specific admission's criteria -- "admission by formula" as Richard Moll calls it -- they have at a minimum been impartial, easily understood and communicated, and almost impervious to political pressure. They at least offer an easily understood "scientific" method to determine the top one-third and one-eighth which is nonsubjective in its application. In part, higher education is about GPA's and standardized tests, and the universities' formulas have -- for most groups in our society -- proven to be reasonably accurate indicators of student success.

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*CSU and UC Regular Admissions Requirements: At both institutions, students must have certain numbers of prescribed college-preparatory courses (the a-f pattern at UC currently requires four years of English, three years of math, two years of foreign language, one year each of laboratory and natural science, as well as several advanced courses selected by the student; CSU currently requires four years of English and two years of math, but in 1988 will require four years of English, three years of math, one year each of U.S. history and/or government, laboratory science, visual or performing arts, two years of foreign language, and three years of approved electives). Once the course requirement is satisfied, students at each institution are eligible for admission solely on GPA in those courses (greater than 3.1 at CSU, 3.3 or higher at UC). For other students, both systems use an "eligibility index" comprised of a sliding scale which juxtaposes GPA and standardized test scores (e.g., with a GPA of x you must have an SAT score of at least y). In addition, if subject or scholarship requirements are not met at UC, students also may become eligible by scoring very high on various standardized tests -- both aptitude and achievement.

While it is true that there are definite benefits to the current system, it is also true that access to the baccalaureate degree is difficult for many. Although most of the relevant problems are not of the universities' making -- e.g., larger societal inequities, some public school inadequacies -- it remains clear that UC and CSU's selective admissions policies further exacerbate the access dilemma. Yet changes in university policies and criteria are frought with problems of their own.

One of the most obvious possibilities for change is to alter the percentages of students the two systems are allowed to enroll. By altering percentages, the eligibility pool could be broadened while leaving university admissions criteria otherwise intact. However, broadening the pool to include more underprepared students could necessitate a significant expansion of support service programs without which many underprepared students are often doomed to failure. In terms of broadening the special-action pool, for example, even with the support programs now available, special-admits are only one-half as likely as their regularly admitted peers to continue in school or graduate.

Broadening the eligibility pool would not necessarily require expansion of the university systems if enrollments were capped or otherwise limited. However, should the Commission elect to endorse the University of California's long-standing policy of trying to provide access for all eligible students (see Issue #2 below), then expansion of eligibility pools could greatly effect the long-term growth of the public systems.

In terms of the "admission by formula" issue, there are several recognizable problems. Some high schools in California may not even offer the courses required by UC and soon to be required by CSU (A Plan to Implement New State Policy on Postsecondary Equal Educational Opportunity Programs, CPEC, p.17). Numerical formulas can miss the highly creative but not intellectually rounded student. Standardized tests do not respond to creativity, perseverance, problem solving abilities, or creative learning. There are empirical studies which suggest standardized test scores are simply not reliable in predicting the probable collegiate success of Blacks and Hispanics (see, for example, "SATs and Minorities: The Dangers of Underpredictions," Change Magazine, November 1977).* Personal characteristics are not taken into account and "late-bloomers" only recently recognizing higher education as a real possibility for themselves are simply missed by the universities.

Some of those within UC have been known to criticize the rigidity of their system. While still at UC Santa Cruz, Richard Moll wrote "The University of California admissions formula is rigid, prompting obvious inequities: giving greater weight than even the College Board recommends to standardized test scores, taking all GPAs at face value... and overlooking entirely a candidate's 'personal strengths.'" Moll also quotes Berkeley Chancellor Heyman to the effect that "All I know is that it is idiotic to be as detailed with picking and choosing as the current UC admissions formula requires. It is so rigid..." And a Berkeley Vice Chancellor states, "with a more flexible admissions policy we could draw an even better student body -- more from rural areas, more ethnics, more balanced kids" (The Public Ivies, pp.23-24, 7, 20).

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*New evidence suggests that Blacks and Hispanics do well on some of the component parts of the standardized tests while experiencing difficulty when all parts are aggregated. Changes in how the tests are used might alleviate some of the problems of the formula approach.

The Commission heard Moll's arguments for a more subjective approach based on analyzing the entire student within his or her particular context and then predicting future academic success. An institution could then broaden its mix while guarding against failure. He speaks of many of the private colleges and their abilities to attract a diverse and talented student pool. Yet, while it is true that the total of private California colleges do enroll, through subjective admissions policies, about the same percentage of Blacks and Hispanics as CSU (Access and Success: Equal Educational Opportunity in California's Independent Colleges and Universities, pp.1-2), it is also true that the most selective are not much more diverse than UC. In fall 1985, for example, seven of the most selective institutions* included an average of only 5.5 percent Black and 7.8 percent Hispanic on campus (AICCU report). Hence, subjective admissions do not necessarily assure much greater diversity. Also, subjective admissions would permit more political and alumni pressure, and might work to the disadvantage of Asians or other scholastically high-performing groups.

Policy Options**

Option A: Retain current eligibility pool policies.

This would continue the differentiation of student eligibility pools and permit reduced competition for students. It would provide a means to control the size and growth of the institutions. It would also permit continued diversion of remedial and lower-division students to the Community Colleges with concomitant savings for the state in lower-division costs. The independent institutions would continue to offer a strong alternative for those preferring somewhat more subjective admissions criteria.

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*Stanford, Cal Tech, Santa Clara, Pomona, CMC, Occidental, U.S.C.

**In researching access issues in foreign countries, staff looked at developments in the Soviet Union, Japan, West Germany, and France. Yet the philosophical differences underlying the issues were so great that it was very difficult to draw parallels or make comparisons. In the other four countries, the educational systems were predicated on the assumption that only a few of the most qualified students were ever expected to enter universities, whereas in the U.S., the system is generally designed to provide broad access. Entrance testing in the other counties is strictly based on up-to-date academic achievement, while a large part of U.S. testing is in terms of general aptitude (Comparative Analysis of University Admissions Requirements in Five Industrial Nations).

Option B: Alteration of current 12.5 and 33-1/3 percentages.

It would be possible to change the percentages of either institution somewhat, thereby expanding the base without essentially altering the differentiation of eligibility pools or changing the rationale above.

Option C: Expansion of special-action admissions (currently 8% of all first-time undergraduate admissions at CSU; 6% of freshmen and 4% of advanced standing at UC).

This could expand the pool of underprepared, low-income, and underrepresented minorities without otherwise changing basic admissions requirements.

Option D: Apply 12.5 and 33.3 percent standards to entire high school age cohort rather than to just high school graduates.

The eligibility pools would be significantly increased as California's very high dropout rate would no longer be a factor in limiting the size of the final pool.

Option E: Apply 12.5 and 33.3 percent standards to high school districts (or to individual high schools) rather than statewide.

The top students from the state's many predominantly minority high school districts (over 80% of both Hispanics and Blacks each live in just eight counties in the state) would be guaranteed university eligibility.

Option F: Reserve a certain number of spaces at the institution of choice for top-scorers on achievement examinations (i.e., The Golden State Exam).

Reserving a certain number of spaces for high scorers on achievement exams could then shrink the percentages of students the four-year institutions were allowed to take (if there was a limit on size). However, particular attention by the universities to achievement exams would help the high schools to know exactly how they were doing in preparing their students -- in effect giving each high school a report card on its progress.

Option G: Retain selective admissions philosophy while broadening entrance criteria beyond standardized tests and GPA and utilizing other means to limit growth.

This would allow one to look at the total student, analyzing the previous four years in relation to specific circumstances and then projecting to the future, ultimately selecting by criteria "who will succeed" rather than by mechanistic numerical data ("admission by formula"). Under such criteria, provisions could be made for a proper mix, balance, etc. With such a policy, preference could be given to certain bilingual students, thereby

turning a currently perceived negative into a positive. Provision could also be made for reentry students whose old scholastic records are considerably out-of-date.

Option H: **Retain selective admissions philosophy but eliminate the 12.5 and 33.3 percentage requirements, using state-established targets (numerical pools) to limit enrollment.**

Under such a policy, admissions criteria could be set by the respective systems or by the individual campuses. Criteria could be by formula, by subjective measures as outlined in G above, or by some combination thereof. Such a policy would enable both systems to move beyond GPA and SAT scores in determining admissions and to provide better mix and balance in their student bodies. The policy would eliminate the inference that CSU is second to UC as a system. Problems of competititon between the systems, however, would be reintroduced in the recruitment process.

Issue 2: What public policy should the Commission recommend regarding guaranteed freshman admission to the public university systems for those who have met the basic eligibility requirements?

Background -- The 1960 Master Plan

Clearly implicit in the development of the Master Plan was a commitment to provide broad access to baccalaureate education. But the issue of guaranteed admissions for qualified applicants to the public universities was never directly addressed by the Survey Team. Depending on which sections are read, the language of the 1960 Master Plan can lead to different conclusions. Sections on diverting qualified applicants from one campus to another within a system seem to suggest such guarantees (for example, the Survey Team's discussion of the "Problem of Numbers," p.61), as does the assumption that any Community College student who is eligible and wishes to transfer can do so (e.g., p.72). On the other hand, in discussing the new admissions pools to be established, the Master Plan recommendations were quite specific that the universities "select from" their eligible pools of the top one-third and one-eighth respectively (p.4). In discussing the future, after having reviewed minimal floors guaranteeing admission versus more selective policies, the Survey Team stated "...it may be that the State Colleges and the University in particular will have to work out some combination plan in order to select the best students from the forthcoming flood of applicants" (p.71). At one point, the Survey Team states specifically that the "systems may have to resort to quotas and develop methods of selection in addition to basic admission requirements" (pp.79-80).

While the question of guaranteed admissions per se was never quite clarified, the Survey Team recommendations had important implications for this particular access issue. In attempting to establish a rational plan for the distribution of students among the three public segments, the Survey Team recommended that the "lower-division proportion of the full-time undergraduate enrollment of the two public segments will be reduced gradually so that by 1975 it will be, for each segment, in the neighborhood of 41 percent. This would be, in each case, a systemwide average, not necessarily true for each campus within the system" (p.60). Subsequently known as the 40/60 policy, this recommendation was meant to assure that CSU and UC would place emphasis "on the divisional levels most appropriate to their defined functional responsibilities... The reduction in the number of lower-division students attending those institutions will, moreover, contribute to the further strengthening of California's well-developed junior college program" (p.65). The language of 40/60 certainly seemed to suggest that guaranteed admissions was not to be a university policy.

Although the 40/60 policy was not included in the 1960 Donahoe Act, the governing bodies of CSU and UC accepted the policy as part of their adoption of the Master Plan. Further, the Joint Committee on the Master Plan for Higher Education reiterated the policy in 1973, and in 1974 the Legislature expressed its intent through Assembly Concurrent Resolution 150 that "the University of California and California State University shall continue to maintain an undergraduate ceiling of 40 percent lower-division students (this is intended to be a ceiling, not a floor; a campus may fall below 40 percent or even eliminate the lower division if circumstances justify)..."

By 1975, the two university systems had reached compliance with the 40/60 policy. In the years since, however, while CSU has continued to meet the 40/60 guidelines, UC has not. During 1984-85 -- the last year for which information is available -- for example, the University's full-time lower division enrollment was 43.6 percent of its total undergraduate enrollment. In 1982-83, the figure reached a high of 46.1 percent ("Prospectus for a Study of State Policies Governing Lower-Division Enrollments," March 1986, CPEC, p.1).

Issue Elaboration

Historically, the UC system has followed a policy of accepting all qualified applicants (Arthur Coons, p.151), in effect guaranteeing entrance somewhere in the system to all those who meet admissions standards. Although not written into law, the UC practice has been interpreted by some as de facto state policy. Thus, the Legislative Analyst in the Supplemental Language to the 1985-86 Budget refers to "The state's long-time policy of providing access (in the universities) to all qualified undergraduate students" (p.1224, Item 6420), and CPEC staff refers to "the state's policy" of access for all eligible high school graduates ("Prospectus for a study of State Policy Governing Lower-Division Enrollments," op. cit. p.1).

Since 1979, the historic UC policy of admitting all qualified applicants has come increasingly in conflict with the 40/60 policy: as applications and acceptances from eligible freshmen students have risen at UC, there have not been off-setting upper-division enrollment increases. With a stable or declining transfer pool, the University has not maintained its minimum 60 percent upper-division enrollments (ibid., p.2).

In the Supplemental Language of the 1985-86 Budget, "CPEC (or the Commission for the Review of the Master Plan)" was directed "to study and make recommendations for resolving the conflict between (1) current state policies limiting the lower-division proportion of full-time undergraduate enroll ment... and (2) the state's long-time policy of providing access to all qualified undergraduate students" (op. cit., p.1224). The Language referred to "Open Access" to the University for qualified students, and the public perceptions regarding eligibility and the "public wrath when parents of students with exceptional high school GPA's are turned down for admission" (p.1225).

In The Challenge of Change, the Commission reaffirmed "Open Access" to the larger system in its first recommendation:

> That the Governor and the Legislature join in a reaffirmation of open access to the California Community Colleges as a cornerstone in the state's efforts to provide equal opportunity to all high school graduates and others at least eighteen years of age capable of profiting from the instruction offered.

The Commission is now asked to recommend whether guaranteed access to the four-year institutions should exist for those students who have met the basic institutional requirements for entrance into the system.*

Policy Options

Option A: Affirm guaranteed admissions to the four-year institutions for all those meeting basic eligibility requirements. (Admission would be guaranteed to the system, not to a specific campus or program.)

Affirmation of guaranteed admission would assure that no qualified student is ever denied access to a baccalaureate degree. Students would know without question that if they performed at certain levels in high school or at a Community College they would be guaranteed a place in their system of choice. On the other hand, cost factors could be significant in times of general population increases -- assuming continued or increased participation rates -- while there would be difficulty in contracting the systems during periods of general student population decline.

Option B: Reaffirm the 40/60 policy as in the original Master Plan.

Reaffirming 40/60 would limit UC and CSU lower-division enrollments and therefore costs. Reaffirmation could, however, mean that some qualified students are denied admission.

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*The issue becomes moot should the universities move to subjective admissions requirements.

Option C: Alter the 40/60 percentages.

The Commission could recommend altering the 40/60 percentages (e.g., to 45/55) to give the universities more flexibility in admissions while still somewhat limiting lower-division enrollments. Conversely, the Commission could recommend further reducing lower-division enrollments (e.g. 35/65) thereby directing more students to the Community Colleges. The Commission could recommend -- as proposed by one speaker -- that the University of California simply eliminate lower-division instruction entirely, allowing it to concentrate solely on upper-division work in the majors and graduate studies.

Option D: Affirm that the systems are expected to "select from" their eligibility pools, with the state limiting or capping enrollments.

Affirming that the systems need only "select from" their eligibility pools would allow greater budgetary and programmatic flexibility, but could seriously limit broad societal participation in baccalaureate programs absent an effective transfer function.

Issue 3: What public policy should the Commission recommend regarding the responsibilities of the public universities to the Community College transfer student.

Background

For its reassessment of the Community Colleges, the Master Plan Commission considered available research findings, heard extensive public testimony, and analyzed detailed background papers on transfer issues ranging from articulation problems, to the need for remedial education, to the development of a comprehensible transfer "core" curriculum. The conclusions of the Commission were reflected directly in the following recommendations made in The Challenge of Change:

> 4. That the highest priorities and primary functions of the California Community Colleges be reaffirmed as the provision of rigorous, high quality lower division instruction for students who wish to obtain associate degrees, transfer to a four-year institution, or prepare for an occupation.
>
> 8. That the Board of Governors, the Regents of the University of California, and the Trustees of the California State University, with appropriate faculty consultation, cooperatively develop and maintain a general education transfer core curriculum which, with the courses required for specific majors, will ensure transfer to the University of California or the California State University systems upon successful completion of the appropriate courses and maintenance of the requisite grade point average.

9. That the Board of Governors communicate the core curriculum to the State Board of Education to be used as part of its curriculum development procedures, so that secondary school students are aware of the requirements for collegiate preparation and transfer and can receive any necessary remediation at the earliest possible opportunity.

10. That the specific requirements for collegiate preparation and transfer be published jointly by the Board of Governors, the Regents of the University of California, and the Trustees of the California State University, and distributed to all junior high schools, high schools, and community colleges in California, with particular attention to schools with high minority-student populations.

11. That the Board of Governors redesign both the Associate in Arts (AA) and the Associate in Science (AS) degree requirements to include the transfer core curriculum, courses for specific college majors, and elective requirements. No courses beyond these areas should be required for the AA or AS degrees. Degrees should be awarded upon completion of the core curriculum, major, and elective requirements.

12. That Community College students who were not eligible for University of California or California State University admission directly from high school be required to complete the transfer core curriculum, within the currently required number of units, prior to transfer. Exceptions could be made for those students with only one or two secondary school course or subject deficiencies.

13. That the Board of Governors invite and encourage the independent four-year institutions to participate in the development of the core curriculum and the efforts to improve the transfer function, and to consider their applicability to their own institutions.

Transfer concerns were also implicit in several other of The Challenge of Change recommendations including those related to counseling, assessment, placement, and remediation. For a general overview of these issues, as well as a synopsis of articulation programs now operating in the State, please see the Commission's background documents.*

In The Challenge of Change, the Commission affirmed the policy that students who have taken the common core curriculum, met the minimum GPA, and completed the required number of courses are guaranteed space in the public university systems. The Education Code (66202) similarly emphasizes the importance of transfer by giving transfer students second overall priority for admission to the university systems coming only behind those continuing undergraduate students in good standing. However, it is necessary here to reopen the transfer issue (1) in the context of the Commission's fourth recommendation reaffirming transfer as one of the "highest priorities and primary functions" of the Community Colleges, and (2) in light of the

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*Background Papers: The Challenge of Change, pp.38-46 and 62-69.

Commission's expressed concerns regarding issues of equal educational opportunity. If public higher education is viewed as an integrated system in attempting to solve the equity problem, then the Commission's recommendation regarding the priority function of transfer has further major implications (at least for consideration) for the Community Colleges themselves, for the senior public institutions, and for the system as a whole.

Issue Elaboration

In the original Master Plan, the transfer function was a cornerstone in the higher education structure. Through the Community Colleges, all students were to be given the opportunity to enter postsecondary education and to persist as far as their talents would take them. In shifting two-thirds of the lower-division students -- students who previously would have been eligible for CSU and UC -- to the Community Colleges, the Survey Team was consciously counting on the transfer function to assure that there would be no reduction in the opportunity for such students to pursue a baccalaureate degree (p.72). Had the Survey Team's analysis proved true, there would be substantially more than the 45,000 students now transferring each year to CSU and the 7,500 students transferring to UC (Update of Community College Transfer Student Statistics, Fall 1985, CPEC, p.9).

While CSU has been more flexible than UC (e.g., authorizing the Community Colleges to designate which courses are applicable to transfer, and allowing transfer students greater leeway in determining which year's catalogue requirements are operative for that student), the transfer function, overall, has clearly declined in priority for both institutions over the last twenty years. How else explain such anomalies as the lack of agreement and coordination between Community College EOPS programs and EOP offerings at CSU resulting in transfer EOPS students not being eligible for EOP; or University changes in requirements of basic transfer courses without Community College consultation or a reasonable timeline so that Community Colleges could make adjustments in their own course offerings; or some Community Colleges lacking curricula necessary to transfer; or lack of course equivalency information; or lack of agreement within the four-year segments as to the specifics of general education breadth requirements which can then be communicated to the Community Colleges. As was pointed out in the Background Papers, many intersegmental programs have recently been adopted to ameliorate such problems (pp.42-43), but such remedial actions are necessary primarily because of the comparative low-priority given to transfer concerns.

In The Challenge of Change, the Commission has reaffirmed the priority of the transfer function for the Community Colleges. But, the Community Colleges are part of a larger system; they cannot assure the success of such programs by themselves. The question logically arises, then, as to whether the four-year institutions need also to affirm the transfer function as a central institutional concern and make whatever adaptations are necessary to assure that it is treated as such.

While making the transfer function a priority would benefit all students, the question also has particular relevance to underrepresented minority students. Between 80-85 percent of public higher education's underrepresented minority enrollment is in the Community Colleges; yet one knowledgeable source could assert "The Community Colleges are the Bermuda Triangle of minority higher education: the kids go in, and then we never know what happens to them." From 1980-85, for example, Black transfers to UC fluctuated from only 3.3 to 4.2 percent, showing a steady decline in the last few years to the lower figure. Black transfers to CSU reached a high of 6.6 percent in 1983, but had declined to 5.8 percent by last fall. Hispanic transfers to UC have grown from 7.4 percent in 1980 to almost 11 percent by 1985. However, Hispanic transfers to CSU began and ended the five-year period at only 10 percent.

Given these statistics and much that has been said earlier about the access problems for underrepresented minorities, it could be argued that any serious efforts in the next few years to achieve educational equity must look to a much higher priority for the transfer function. If CSU and UC are to remain highly selective; if the Community Colleges are to remain the primary entry point for the underprepared; if minorities, because of societal and public school inequities are, in the immediate future, much more likely to be underprepared; then transfer offers the only realistic hope for assuring broader access to the baccalaureate degree.

Policy Options

Option A: Recommend that the transfer function be recognized as a central programmatic priority for all three public segments of postsecondary education and require that the chairs of the governing Boards of the California State University, the University of California, and the California Community Colleges present yearly reports to the Legislature on the status of transfer and outstanding problems of intersegmental articulation and coordination.

Adoption would help elevate transfer to an issue of central concern to all of California public higher education. Adversely, such elevation would probably require a reallocation of college and university resources.

Option B: Recommend that the governing boards of the University of California, the California State University, and the California Community Colleges -- in cooperation with CPEC, the State Department of Education, and the Association of Independent California Colleges and Universities -- be held responsible and accountable for the development of formal systemwide articulation agreements within and among the segments.

Current articulation activities are generally coordinated through the Articulation Council, a voluntary organization including representatives from UC, CSU, the Community Colleges, the Association of Independent California Colleges and Universities, the State Department of Education, and CPEC. The Council seeks to facilitate transfer by resolving issues among the segments (including secondary) related to sequence of courses, transferability, and other curriculum matters. As a voluntary organization, the Council lacks binding authority for implementation of policy, although many of its recommendations are adhered to by the segments. Requiring mandatory formalized articulation activities would give such activities much more authority while also signaling the state's concern with the transfer issue. Formalization, however, might create the need for a bureaucracy possibly requiring funding from the state, unless the segments were required to fund the activities from on-going revenues.

Option C: Recommend that CPEC be given the authority and responsibility to make certain there is full articulation of instructional programs among the three public segments of higher education.

The recommendation would put clear responsibility for articulation with a single, already-existing public agency. However, such a policy would require CPEC to take on a direct administrative responsibility that it is currently neither staffed nor organized to assume.

Option D: Recommend that the Board of Governors of the Community Colleges be given the authority and responsibility to guarantee that all Community College students have access to transfer courses designed to meet the lower-division baccalaureate degree requirements of California public universities.

Transfer student's cannot meet university entrance requirements without the required prerequisite courses. On the other hand, there are Community Colleges in California that have had few or no students transfer to the universities over the past several years (Background Papers: The Challenge of Change, p.44). Without a "critical mass" of potential transfers, it is very difficult to maintain those programs essential to the transfer function. Requiring that transfer courses be maintained might force some Community Colleges to divert resources that otherwise would go toward meeting other community needs. However, the requirement could be met if such courses were made available at another, reasonably close Community College or through telecommunications capabilities.

Option E: Recommend that CSU, UC, and the Community Colleges be required to develop a cross-reference system whereby any student or advisor within a system could determine which courses within that system were equivalent to which courses in either of the other systems.

The Commission has already reaffirmed the high priority of the transfer function for the Community Colleges in expectation that transfer will be increased to the four-year institutions. Even now, over 55,000 students per year transfer to the state's public and private universities. It is not uncommon for certain Community Colleges to transfer at least one student to each of the 27 public four-year institutions. Yet with different course numbering systems, very different catalogues, and different entrance requirements (e.g., for the major) between and among institutions, the potential transfer student is faced with a maze that is often defeating. Concern with this issue led to Senate Bill 851 in 1983 requesting that CPEC "develop a plan for a course numbering system to be used by public postsecondary educational institutions." A system, CAN, has been devised and has been implemented by some of the campuses for approximately 50 percent of the courses usually presented by the transfer student (A Guide to CAN, p.3). The issue here is not CAN per se, but whether some kind of common reference (CAN or otherwise) should be utilized throughout the public segments for all transferable courses. Such a system would be of major use to students and counselors in facilitating transfer. Total conversion to such a system, however, would require considerable staff and computer resources and a reallocation of faculty and administrative time and commitment.

Option F: Require no additional changes in current state policy toward transfer, other than those recommended in The Challenge of Change.

Issue 4: What public policy should the Commission recommend to meet the needs of older, part-time, and other nontraditional students in the four-year institutions.

Issue Elaboration

The 1960 Master Plan mentions virtually nothing in regard to possible changes in the postsecondary education clientele. There are implicit assumptions throughout the document that college students would continue to be young, generally homogenous, well-prepared, recent high school graduates who would attend college on a full-time basis.* The organization of California's univeristies has continued to reflect these assumptions (with important exceptions at some CSU campuses) and indeed the student bodies have tended generally to conform to the earlier model. But with the urbanization of the state and rapidly changing demographics, patterns have begun to change significantly: an increasing number of students need to work; many workers are "retooling", coming back to college for a second B.A.; there are more reentry students -- particularly women -- returning to college to finish degrees; more students need to make up course deficiencies or take noncredit remedial offerings thus taking more years to complete a degree. With such changing patterns, the Commission may wish to address the question of whether the old models and assumptions are still appropriate to the future.

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*See, for example, discussion on barriers to higher education -- "lack of incentives, early marriage, military service, financial resources" that afflict "young Californians" (p.77). There is no mention of age, ethnicity, part-time students or sociocultural barriers.

Now taking five or six years to complete a degree, seniors at UC are averaging over 24 years of age at graduation. At CSU, full-time seniors graduate at approximately 26 years of age, while part-time students now graduate at 30 (CPEC, Director's Report, May 1986, pp.25-26). Part-time enrollments have increased dramatically since 1960. Currently, almost 30 percent of CSU's undergraduates are part-time, while the University has approximately a 7-10 percent part-time enrollment. When the Community Colleges are included, California has exactly reversed the national totals by enrolling only 42 percent of its students full-time and 58 percent part-time (Director's Report, May 1986, pp.23-24). This figure is significantly skewed, however, by the Community College rate of over 70 percent part-time.

The Commission has reaffirmed the transfer function as one of two central missions for the Community Colleges. Yet as noted in one of the earlier background papers presented to the Commission, "one of the clearest barriers to transfer is the 'full-time' nature of education at the University of California and the California State University." Some 70 percent of Community College students are employed at least thirty-five hours per week, yet there are relatively few options available at the University of California for those who work full-time. The CSU system does somewhat better, but the lack of ability to attend classes on the predominately 8:00-4:00 daytime schedule of many of the public universities is still a serious barrier to transfer (Background Papers: The Challenge of Change, p.41).

There is also the coming change in the ethnicity of the traditional college-age cohort. The large increase in the number of low-income, underrepresented minority students will potentially make significant demands upon the universities' flexibility as many may have to work. Others -- at least prior to dramatic changes in the public school sector -- will need extended time opportunities in order to make up course deficiencies or pursue remedial requirements. Finally, the aging of the population and the increase in female reentry and various career changes will increase further the demand for part-time educational opportunities. Significant changes have been made -- particularly in the area of child care and the scheduling of some evening programs -- but other changes may be necessary for the future.

Policy Options

Option A: Recommend that CSU continue to expand and extend its support services, office hours, and programs to meet the needs of older, part-time, and other nontraditional students. To further recommend that CSU assure that expanded program offerings are such that they can be completed, rather than merely a random set of alternative courses or activities.

Option B: Recommend that the Board of Regents analyze the operations of the UC campuses to determine where the system is not meeting the needs of older, part-time and other nontraditional students, and alter organizational practices and programs as appropriate.

Option C: Articulate no state policy and continue to permit both university systems to respond to changing needs as their governing boards best determine.

To recommend change would help to encourage a more flexible system responsive to the individual needs of far greater numbers of students in an urbanizing state with dramatically shifting student demographics. There would be negative consequences, however. The cost factor could be significant if administrative services and academic programs were extended to cover a much greater number of hours. Faculty time commitments, particularly in small departments, could be stretched so that few solid blocks of time remained for research, writing, or creative activities.

Issue 5: What public policy should the Commission recommend regarding equal educational opportunity (educational equity) in the California State University and the University of California.

Background

In 1960, the Master Plan was driven by assumptions regarding a rapidly expanding, homogeneous student population generally white and adequately prepared by the public school system. In response, the Survey Team designed a sophisticated, highly differentiated system remarkably successful in offering broad geographical access and an extensive array of quality programs in meeting the needs of the traditional student population. The Survey Team, however, had virtually no information available regarding the ethnicity of student populations or possible demographic shifts in the future. There was no public concern expressed that very small numbers of minority students might be enrolled. "The Master Plan Survey Team was, in a sense, color blind, insofar as it did not perceive that disproportionate numbers of most ethnic minority groups would be excluded..." (The Challenges Ahead: Issues in Planning, CPEC, p.96).

The Master Plan did not anticipate major changes in the State's ethnic composition, socioeconomic barriers to education within certain communities, or the decade of declining performance in California schools. An underlying notion of the Plan was that ability and motivation would be the chief factors in access and success within the system. As Senior ACE Fellow Harold Hodgkinson has written, this "dream remains a viable one, but after more than 20 years of the 1960 Plan we must look at the reality as well. It is clear today that race, socioeconomic class, and a host of other factors are all of major importance in terms of who participates in higher education, and at what level" (California: The State and Its Educational System, p.6; emphasis added). While geographical access may be a reality and while open access to the Community Colleges may offer entry into the system for anyone, the fact remains that further access to the public universities, and thus to the baccalaureate degree per se, remains extremely limited for large segments of our population.

At least one-quarter of California's high school students do not complete their high school studies and thus are ineligible for the public universities. Within this group, the dropout rate for Black and Hispanic youth is over 50 percent greater than for white students. Approximately 33.3 percent of the Black students and 33.9 percent of the Hispanics fail to complete school, compared to roughly 21.9 percent of white students (Director's Report, CPEC, December 1985, pp.1, 26). Thus, not only do these students miss out on higher educational opportunities themselves, their disappearance from the graduation numbers significantly shrinks the pool from which eligible applicants are determined by the public universities.

In terms of the eligibility of actual high school graduates, only 3.6 percent of the Black graduates and 4.9 percent of the Hispanic graduates qualify for regular admission to the University of California, compared to 15.5 percent of the white graduates and 26.9 percent of the Asian. At CSU, 10.1 percent Black and 15.3 percent Hispanic qualify, while the figure for whites and Asians are 33.5 percent and 49 percent respectively (Director's Report, CPEC, December 1985, p.6).

To improve the number of underrepresented minorities enrolled in the universities, both CSU and UC have made substantial commitments to special-action admissions programs (see above under "Eligibility for Admission" for further details). At UC, approximately 44 percent of the Black freshmen and one-quarter of the Hispanic freshmen are special-action admits. At CSU on the average, 60 percent of Black first-time freshmen and one-third of Hispanic freshmen are enrolled under special-action programs (Special-Action Admission at California's Public Universities, CPEC, June 9, 1986, Draft, pp.9, 19). Even with such programs, however, Black and Hispanic enrollments remain quite low. At CSU in the fall of 1985, for example, only 9.6 percent of the total student body was Hispanic while 5.8 percent was Black. At UC, the figures were 7.6 percent Hispanic and 4.2 percent Black (Director's Report, CPEC, May 1986, p.14).

Special-action admission also brings its own set of problems. Persistence and graduation rates of special-action students differ substantially from those of the regularly-admitted student body and these differences increase over time. By the fifth year of college, special-action admits are only about one-half as likely as regularly-admitted freshmen to still be enrolled or to have graduated (Special-Action Admissions, op.cit, p.19).

When all of these facts are taken together -- the dropout rate, eligibility rates, problems for special-action students -- the final picture becomes quite revealing. For every 1,000 Blacks or Hispanics entering high school in California, just 16 Blacks and 14 Hispanics will receive degrees from CSU or UC within five years after graduation of their high school class. For whites and Asians, the figures are 56 and 176 respectively. Several others of each group will receive degrees later. Of course some will also be educated in various private institutions -- particularly in California where the independent colleges now enroll approximately 15 percent minority students. But even when the private institutions are taken into account, the problem for California in educating its citizenry remains acute. As David Saxon noted in referring to the issue on his retirement as President of the University of California:

> "By the end of this Century, California is likely to become the first state in the nation whose population is made up predominantly of members of minority groups... Intelligent self-interest, the welfare of the nation and justice all demand that we do something to make sure

that the young people of the state are qualified for an education at the University of California." (Cited in California, The State and Its Educational System, p.6).

Issue Elaboration

For many, educational equity issues are thought of in terms of affirmative action programs. However, in its broadest sense, educational equity -- equality of educational opportunity -- encompasses an entire spectrum of relationships, attitudes, and programs of which affirmative action projects are merely discrete parts.

In undergraduate education, affirmative action is generally seen to be the alteration or expansion of various entrance eligibility criteria coupled with a few special programs in an attempt to compensate for prior socioeconomic or educational disadvantages. As we have seen, above, such approaches by themselves have not significantly altered attendance and graduation rates in our public universities. Educational equity, on the other hand, includes the issues of prior preparation, access, retention, faculty-student relationships, support services, and prevalent institutional assumptions and attitudes (e.g., the deficit model v. more positive views of nontraditional students). Educational equity requires changes in the larger institutional environments without which traditional affirmative action programs are generally relegated to failure.

In the last several years, considerable state attention has been focused on the issue of educational equity. In 1974, ACR 151 (Hughes) called upon the three public segments of higher education to "prepare a plan that will provide for addressing and overcoming by 1980, ethnic, sexual, and economic underrepresentation in the makeup of student bodies of institutions of public higher education." ACR 83 (Chacon) in 1984, reaffirmed the objectives of ACR 151 and requested that the state's educational agencies cooperatively adopt plans and recommendations regarding the preparation and support services for low-income and underrepresented minority youth so that enrollment in and completion of postsecondary education would more adequately reflect the ethnic and income composition of the state. In so doing, the Legislature recognized the "comprehensive institutional efforts coordinating all existing school and campus resources" that would be necessary for success in equity efforts (emphasis added).

Since 1970, CSU and UC have developed over 30 programs in attempting to address the situation, spending many millions of dollars in the process. At CSU, for example, it has been estimated that the system spent over $70 million in equity efforts from 1980-85 (Educational Equity in the California State University -- Which Way the Future, p.1), while Chancellor Reynolds has recently written that current expenditures now total $30 million yearly ("Keys to Degrees: Minority Students will Gain from State University System Changes," San Jose Mercury News, August 15, 1986). Yet the percentages of underrepresented ethnic minorities are still extremely low in each segment.

In early 1985, the CSU Chancellor took a noteworthy step in confronting equity issues by appointing a prestigious Educational Equity Advisory Council charged with reviewing the history, scope, and effectiveness of CSU educational equity programs and recommending appropriate policy for the future. The Council -- chaired by a systemwide Vice Chancellor, and including the Presidents of the San Luis Obispo, Fullerton, and San Bernardino campuses -- recently has issued a comprehensive report remarkable for its candor and willingness to self-critically evaluate institutional shortcomings. The Council concluded that CSU has "been far less than successful in achieving equity to the fullest extent possible." They said, "The California State University's institutional approach to the issues of educational equity has, at best, been ad hoc and some would say, at worst, dysfuntional;" and argued that "viewed in a realistic context, the CSU has defaulted on its institutional responsibilities to ethnic minority students ...(and) has come dangerously close to officially sanctioning what can best be described as separate and unequal educational opportunities..." (Educational Equity in the California State University -- Which Way the Future?, pp.1, 10). The Council acknowledged that in the long term, of course, educational equity and increased participation rates would depend on improvements in the public school system, increased high school graduation rates, and Community College transfer. But in the interim, they argued, postsecondary educational institutions "must take all feasible steps to stop the decline of higher education participation rates for ethnic minorities" (p.2), and asserted that CSU was not doing so.

The central thrust of the Council's report was that although CSU was engaging in many equity activities, most of the programs were peripheral, ad hoc, add-on efforts, without central institutional organization, commitment, or accountability, and with the fundamental and pervasive problem being the "lack of a sustaining educational rationale" (p.3). They went on to say that for the most part it was clear that "educational equity programs in the CSU are and historically have been crisis-reactive efforts which seldom have benefitted from or enjoyed the support and involvement of regular student services programs or a majority of the system's faculty or students. Moreover, such programs have tended to take on a social welfare coloration, that is, doing something for the poor and unqualified minority students" (p.3). The Council argued that CSU and other systems should "cease perpetuating the notion that there are two agendas for higher education, one for the educationally disadvantaged and one for the nondisadvantaged... educational equity (efforts) must be integral to the mission of the California State University" (p.2).

In developing their arguments for the institutionalization of commitment and responsibility in the equity effort, the Council cited numerous examples of the problems arising from the peripheral nature of most equity programs. In the 1983-84 budget language, for example, the Legislature required CSU and UC to consolidate their Student Affirmative Action, Educational Opportunity, and other equity programs and services. Generally, the Council concluded, "CSU has failed to be fully responsive... In the main, the results of nearly a year of planning for program consolidation is a continuation of categorical, ad hoc, and generally uncoordinated efforts which will not be responsive to demographic changes in student clientele over the next twenty years" (p.16). Similarly, the Council demonstrated that the "CSU is unable to respond fully to ACR 83 or other legislative requests for plans because neither at a system or campus level do up-to-date comprehensive plans exist" (p.32).

The Council offers many recommendations including making issues of educational equity integral to the mission of CSU; adherence to a new CSU policy on outreach emphasizing increased use of campus mission and goals statements in developing outreach programs (p.18); redefining, restructuring, and bringing closely together both traditional (e.g., admissions, financial aid, relations with schools, etc.) and nontraditional (e.g., EOP, SAA, etc.) outreach/access functions to form a tightly coordinated approach to issues (pp.21-23); and a serious attempt to involve all faculty in the retention of ethnic minority students (p.28).

The timeliness, detail, and openness of the Equity Council's recent report has made it particularly convenient here to focus on CSU in elaborating on the above problems. However, there is reason to believe that the critique is equally valid to UC and to a lesser extent true at the Community Colleges as well.

In terms of UC, the founders of Oakes College -- an experimental college on the Santa Cruz campus which had considerable success in the 1970's and early 1980's in recruiting and graduating underrepresented minority students -- have just completed a detailed manuscript analyzing their experiences in which they argue forcefully that many of UC's difficulties in attracting and retaining nontraditional students stem precisely from the same lack of central institutional commitment as outlined in the CSU equity study. Equity programs at UC are also preipheral and ad hoc, and nontraditional students "clearly understand that their concerns are not considered part of what the institution is really about" (An Academic Tragedy, Chapter 12). As to the Community Colleges, indications of the same kinds of problems, at least at some campuses, can be seen in a recent study by Education Evaluation Associates evaluating EOPS for the Chancellor's Office. The analysis specifically points to the problems EOPS programs face when they are peripherally defined and situated, administratively isolated, and uncoordinated with other campus efforts (EOPS Operational Program Review: 1984-1985, Chapter 4).

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Because educational equity entails far more than access issues,* discussion of potential policy options was postponed until presentation of issue paper no. 5 (retention) which deals with support services, other special programs, attitudes and assumptions, and institutional environments.

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*See first two paragraphs under "Issue Elaboration" in this section.

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ISSUE PAPER NO. 2

FINANCING POSTSECONDARY EDUCATION IN CALIFORNIA: PRICING PUBLIC POSTSECONDARY EDUCATION; DIFFERENTIAL PRICING BASED ON STUDENT OR PROGRAM CHARACTERISTICS; FORMS OF STUDENT AID; THE IMPACT OF PRICING AND STUDENT AID POLICIES ON INDEPENDENT INSTITUTIONS; PRIVATE SUPPORT FOR PUBLIC INSTITUTIONS.

Introduction

This is the first of two issue papers dealing with the financing of postsecondary education in California. This paper will discuss issues regarding the pricing of public postsecondary education (i.e., the extent to which it is to be supported by tax appropriations on the one hand and student fees and other private sources on the other); differential pricing based upon student or program characteristics; the allocation of student financial aid among alternative forms of such aid; the impact of pricing and student aid policies on the financial condition of private institutions; and state policy regarding private support for public institutions. The second paper (No. 7) deals with issues concerning the development of funding mechanisms that take into account institutional performance, "value added" measures, and other incentives; the development of budgeting procedures that enhance accountability; the allocation of institutional support among the three primary functions: instruction, research, and public service; and the appropriate roles of various state agencies and the educational institutions in the budget process.

Issue 1: What public policy should the Commission recommend regarding the pricing of public postsecondary education?

Background*

From its earliest days, the policy of this state has been to construct public college and university campuses and to pay for their operating costs almost entirely from tax revenues. Apart from charges for room and board and other living expenses, students enrolled in these institutions have been expected to pay only for the cost of certain incidental activities, services, and materials. Proposals to charge tuition -- the cost of instruction -- have always been rejected. Moreover, although the state has encouraged the development of private institutions, it has, in effect, stood ready to accommodate in its public institutions all those eligible to enroll in them. As a consequence of these policies, the great majority of college and university students are enrolled in public rather than private institutions in California.

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*See "Background Paper No. 3" for detailed background data relevant to the issues presented in this paper.

The state's traditional policy of providing tuition-free higher education for residents of the state was reaffirmed in the 1960 Master Plan. The Master Plan Survey Team did recommend that auxiliary services such as housing, food services, and parking be self-supporting and that students be charged for laboratory fees, health services, student activities, and other services "incidental to, but not directly related to, instruction", but it also recommended that the University of California, the State Colleges (now California State University), and the Junior (now Community) Colleges remain tuition-free for all residents of the state.

Several subsequent studies reaffirmed that position. In 1982, however, the California Postsecondary Education Commission sought to disconnect student charges from specific services in a series of reports to the Legislature and Governor in response to ACR 81 of that year. Stating that "the level of student charges is more important to the maintenance of access than the use of the revenues from these charges," CPEC recommended that such charges be related to total state and local tax support for CSU and UC. Finding that "State policy sets a range of 40-50 percent of [tax support] for total student charges in the University, and of 10-20 percent...for total student charges in the State University," CPEC proposed that these figures be employed as determinants of future increases. Legislation establishing the 10-20 percent range for CSU was enacted in 1983.

In the following year, however, the Legislature directed CPEC to convene representatives of the segments, interested state agencies, and student organizations to "develop recommendations on a long-term student fee policy and specifc fee level calculation methodologies." The recommendations of that group were transmitted to the Legislature in December 1984 and enacted in 1985 largely as proposed.

The 1985 legislation reaffirms that it is the policy of the state "that the State shall bear the primary responsibility for the cost of providing postsecondary education." According to this policy statement, students are to be responsible for a portion of the total cost of their education, but student fees should remain low and should not be raised or lowered by more than 10 percent in any year. The statute also incorporated CPEC's proposal to tie regular annual fee adjustments at UC and CSU to the level of state appropriations, but this provision was ignored in the appropriations for 1986-87, which required no change in fees. Student fees for 1986-87 will average $1,326 for undergraduate and $1,369 for graduate students at UC, $658 for undergraduate and graduate students at CSU, and $100 for Community College students.*

The Community College fee, which was expected to produce approximately $70 million in revenue in 1985-86, will "sunset" December 31, 1987, unless the Legislature acts to extend its authorization beyond that date. At the time of its enactment in 1984, there was substantial controversy regarding its impact on enrollment among low-income students. As a consequence, the Chancellor's Office was directed to conduct a study of its effect and submit a progress report to the Legislature on January 1, 1987. Preliminary reports indicated a drop in enrollment in some districts following imposition of the fee, but other factors may have contributed to that drop.

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*These figures include permissive student fees, which vary from campus to campus, but which for undergraduates will average $85 at CSU and $81 at UC. Fees are $1,212 at Hastings College of Law and $1,008 at California Maritime Academy, the state's two other public institutions.

Issue Elaboration

Tuition and other fees are the price charged students for the educational services they receive. Public subsidy in the forms of direct institutional support and student financial aid may be viewed as a device for inducing greater student enrollment than would otherwise occur. Student aid is readily seen in this light -- as a method for discounting the "posted" or "list" price in order to attract students with low incomes or special talents, for example. But the same is true of direct institutional support, and the two forms of subsidy are commonly employed (for public institutions) in a combination that may be justified in economic as well as political and historical terms.

The principal economic criteria for determining the optimal level of public subsidy for postsecondary education, just as for other public services, are, as Breneman and Nelson have written, efficiency and equity.* In brief, the arguments regarding efficiency and equity are as follows, beginning with efficiency. Postsecondary education clearly benefits the individuals who obtain it and the society as a whole. Yet individuals tend to consider only their personal benefits in deciding how much education they are willing to purchase. In the absence of a public subsidy that will make such education available below cost, there is likely to be an underinvestment in postsecondary education. Some public subsidy in the form of direct expenditures or student aid, or both, is necessary to ensure that the right amount of such education is available, that resources are allocated with optimal efficiency.

The optimal amount of education would be delivered at the point at which some students would no longer purchase the service if the cost were increased and, as a result, there would be a loss in public benefits that would not be made up by the expenditure of public revenues for some other purpose. How much public subsidy there should be depends upon how great one believes the public benefits to be and how closely one believes an unfettered market would come to producing the optimal amount of such education.

The difficulty is, of course, that the actual benefits to individuals and to society cannot be precisely measured. Economists continue to disagree regarding their importance and, in some cases, their existance. Some economists, while acknowledging that postsecondary education produces significant social benefits, argue, nevertheless, that the private benefits are great enough to justify primary reliance upon the market to ensure optimal investment. Others, who emphasize the social benefits, argue that private decisions based upon individual benefits will result in a gross underinvestment in higher education. Thus, as Breneman and Nelson say, "Judgements about the balance between public and private benefits are made through the political process" (p.29), as are judgements as to the manner in which they should be distributed. Yet the political process is enhanced to the extent that it is informed regarding the principal economic considerations.

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*See David W. Breneman and Susan C. Nelson, Financing Community Colleges, An Economic Perspective. Although published in 1981, and dealing primarily with Community Colleges, this continues to provide one of the clearest and most useful discussions of the basic economics of public financing for all postsecondary education.

The equity question is quite different. Equity has to do with the distribution of postsecondary education among the population. Postsecondary education, it is argued, should not be limited only to those who can afford to pay for it. A just society will seek to ensure access to all who are prepared to benefit from postsecondary education, and many of the benefits to society, the "external" benefits, will accrue to the extent to which that is accomplished.

Accordingly, the state has three principal choices in determining the extent of the subsidy it will provide for public postsecondary education in the future and the forms that subsidy will take. It can continue to hold student charges to a minimum (or eliminate them altogether), thus subsidizing all students regardless of their ability to pay and emphasizing equity over efficiency. It can raise student charges to cover some large fraction or all of the cost of instruction and related services so that the taxpayers' subsidy to students is substantially reduced, thus emphasizing efficiency over equity. Or, attempting to achieve both efficiency and equity, it can raise charges and at the same time increase student aid so that the large subsidy will remain and the net cost will increase only for relatively wealthy students.

There is, however, still another factor that must be considered: the amount of tax revenue available to subsidize postsecondary education. Article XIII B of the California Constitution, which was adopted by the voters in 1979, limits the level of tax supported appropriations that can be made by the state and local governments each year. From its 1978-79 "base year," the limit rises each year with growth in the state's population and increases in either the U.S. Consumer Price Index or California per capita personal income, whichever is the lesser.*

In the first few years following adoption of Article XIII B, the relatively high rate of inflation, slow growth in state revenues, and declining state expenditures in "real" terms (after adjusting for inflation) caused the difference between the limit and revenues subject to the limit to increase. Beginning in 1983-84, however, those revenues subject to the limit have risen faster than the limit, and the difference between the two has all but disappeared, as shown in Display 1 below. The limit has risen more slowly than it did initially as a result of a much reduced rate of inflation (as

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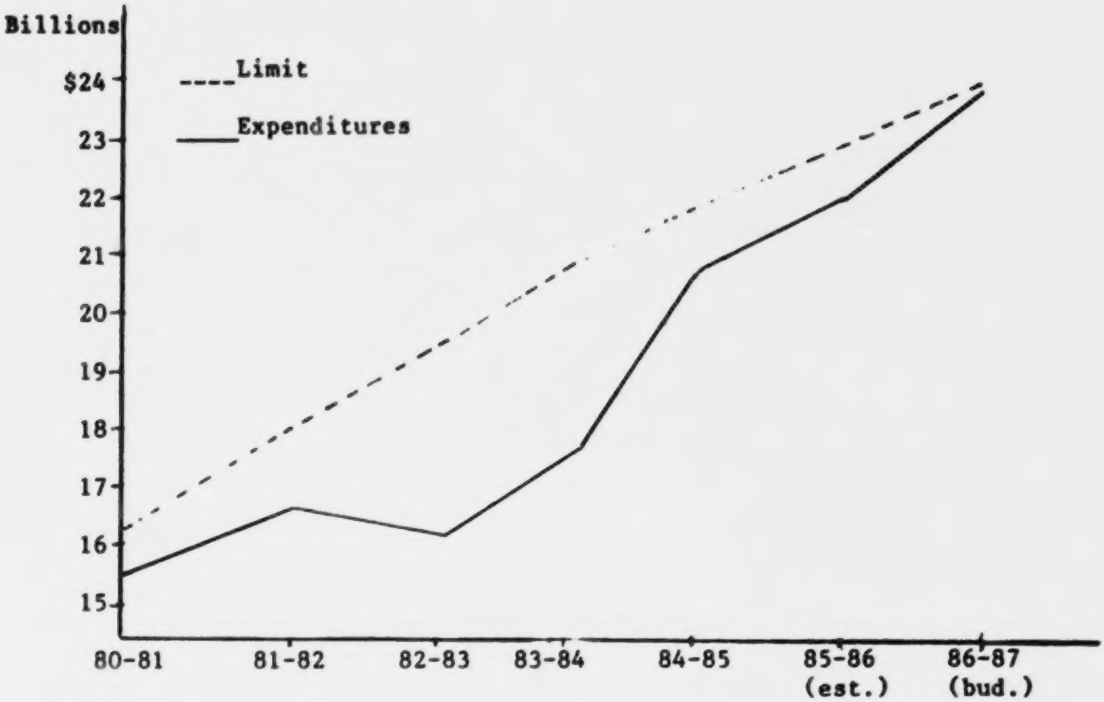
*See Appendix A of "The State's Appropriation Limit," a detailed description and analysis of Article XIII B prepared by the Legislative Analyst in 1986.

Display 1: Annual Growth in State Expenditure Limit and Expenditures Subject to Limit



measured by the CPI). Tax revenues have risen more rapidly because of improvements in the economy, and those revenues have been used to increase support for the public schools, expand the capacity of the state's prisons and other correctional facilities, and meet rising health and welfare costs.

If the demands for more state support for the public schools, prisons, and other purposes continue to be met, it is entirely possible that Article XIII B will make it impossible for the state to meet the costs associated with growth in public postsecondary education enrollment at the current level of subsidy. This is important to the discussion of student charges because such charges, as long as they are reasonably related to institutional costs, are not limited by Article XIII B. Thus, in determining what is the appropriate level of public subsidy for postsecondary education, consideration must be given not only to equity and efficiency but also to the adequacy of the tax revenues that will be called upon to provide substantial increases in support in the absence of increases in student charges.

Policy Options

Option A: Eliminate student charges other than those for room, board, parking, and other auxiliary services; support institutional operating costs entirely from tax revenues and other sources.

Those who favor minimal fees and a large subsidy argue that higher fees discourage attendance on the part of low- and even middle-income students. As a consequence, there is a substantial loss to the whole society as well as to the individuals who do not continue their education beyond secondary school. The loss to society is measured by the reduction in the numbers of persons who obtain the general and specialized education upon which the social, political, cultural, and economic development of the state depend. It is also argued that fees produce a loss in equity in that access to postsecondary education is determined by (family) income and not by academic ability, diligence, or motivation.

It may be noted in this context that UC Berkeley and UC San Diego are now listed by the College Entrance Examination Board as among the ten most costly public institutions in the country for room, board, tuition, and fees.

Opponents of a fee reduction argue that it would simply increase the subsidy to middle- and high-income students without significantly improving access for low-income students. They might also point out that in the current year student charges for residents of California (other than charges for room, board, and other auxiliary services) are budgeted to provide approximately $421 million for support of the three segments. Elimination of these charges would shift this cost to the state's General Fund.

Option B: Maintain the current fee policy according to which the state has primary responsiblity for the cost of providing postsecondary education, but students are responsible for meeting a portion of that cost. Fees in all three segments are waived or offset by financial aid for low-income students.

Existing policy as stated in statute is to continue student charges for UC and CSU students as they existed for 1985-86, with annual increases proportionate to increases in State General Fund support per student for each segment. As noted above, however, this policy was ignored by the Governor and Legislature in adopting the Budget Act for 1986-87, and the legislation "sunsets" in 1990.

Current policy with respect to student charges at the Community Colleges is also in doubt. If it is to be consistent with statutory policy for UC and CSU, however, it must be understood to be that the current fee will be retained and the $100 amount will be increased annually in proportion to increases in state support for the Community Colleges.

Option C: Student charges should provide for a substantially larger share of the cost of education in each of the segments, with a corresponding increase in student financial aid to assure access for low-income students.

Proponents of a "moderate" tuition charge argue that the exisiting policy provides an unwarranted subsidy to middle- and upper-income students who can well afford to make a greater contribution to the cost of their education. Moreover, Article XIII B of the California Constitution is likely to begin to limit tax support for public postsecondary education to a level that is not consistent with excellence in instruction. An increase in student charges to the equivalent of one-third of institutional costs (excluding research and auxiliary services), for example, coupled with a proportionate increase in student aid would provide needed additional institutional income while preserving educational opportunities for low-income students.

Opponents of any increase in student charges beyond those currently authorized argue, on the other hand, that access would be denied to low-income students because it is the "posted" price that influences the attitudes and decisions of low-income students and their parents. If and when they become aware of student aid, college has long been dismissed as a possibility.

There is some evidence, however, that higher student charges will not result in the enrollment losses among low-income students that tuition opponents say are almost certain. For example, a recent report published by the University of Minnesota states that there has been no significant loss in enrollment among Minnesota's public institutions as a consequence of increases in student charges to the level of one-third of "instructional costs" (Minnesota, 1985).

Issue 2: What public policy should the Commission recommend regarding differential pricing according to student or program characteristics?

Background

At present, pricing policies for the public institutions in California differentiate between resident and nonresident students, full-time and part-time students, and students enrolled in the regular academic programs and those enrolled in continuing, extension, and noncredit programs.

Unlike resident students, nonresident students (out-of-state and foreign students) must pay tuition to attend a public college or university in California, as is the case in all other states. Residency is determined uniformly according to statutory Uniform Student Residency Requirements, but each segmental governing board is responsible for determining how nonresident tuition is to be calculated. For the Community Colleges, nonresident tuition is calculated to be equal to the accounting category "current expense of education", which includes salaries, benefits, and supplies in the instruction, administration, and support functions. For CSU, nonresident tuition is based on the average cost per student for teaching expense and academic support. Teaching expense includes faculty salaries, clerical salaries, supplies, equipment, and organizational activities related to teaching; academic support includes library, audio-visual, data processing, and certain other costs. For UC, nonresident tuition is said to be related to three factors: the marginal cost of an additional student, nonresident tuition charged by 22 other public institutions, and projected changes in cost-of-living indices.

In 1986-87, nonresident tuition will be $2,340 to $3,120 for the Community Colleges*, $3,780 for CSU, and $4,086 for UC. However, the Legislative Analyst has disputed UC's calculation. According to the Analyst, if UC's nonresident tuition actually reflected the marginal cost of an additional student, nonresident tuition in 1986-87 would be $5,319 for undergraduates and substantially higher for graduate and professional students.

Part-time students in all three segments pay less than full-time students but, in most cases, more per credit unit. Part-time students in the California Community Colleges pay a fee of $5 per unit for up to five units. If they enroll for six or more units, they pay the full fee of $50 per semester or $100 per year. Part-time students at CSU, those who are enrolled for six or fewer units per semester, pay a fee of $333 per year, as compared with $658 for full-time students. UC students who are enrolled for 10 units or less pay only half of the education fee, so that their mandatory fees average $884 as compared with $1,245 for full-time students.

In addition to differential pricing for nonresident and part-time students, there is differential pricing based upon program characteristics. Those courses, seminars, and activities that are not part of the regular curricula but are offered as community service courses by the Community Colleges, continuing education by CSU, and University Extension by UC are expected to be self-supporting. Although many of these courses are offered for regular credit and in other ways closely resemble classes for which there is no tuition charge, there is generally something about when or where they are offered, their duration, or their content that sets them apart from the regular curricula.

It is in this area that the public institutions tend to be the most entrepreneurial, developing and offering classes that are of immediate popular interest but not always closely associated with what is commonly considered to be higher education. Those offerings that appear to be the farthest removed from the regular curriculum periodically attract comment from critics who believe that they are inappropriate for institutions of higher education and indicate a blurring of institutional mission that should be avoided.

The 1960 Master Plan addressed extension and community service courses and programs as part of "adult education" and concerned itself principally with the allocation of responsibilty for such courses "among the different public agencies operating in such communities" (MP, p.139). Thus its recommendations on this subject dealt primarily with coordination. It did recommend, however, that in determining the level of state support for these courses "effort be made to differentiate between those enrollees who are pursuing a stated, planned program with definite occupational or liberal education objectives and those who are enrolling in single courses for which matriculation or prerequisites are absent." (MP, p.145). The 1960 Master Plan also endorsed nonresident tuition equivalent to the average "teaching expense per student" as defined by the Survey Team.

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*Community College nonresident tuition is set by local district trustees and varies from district to district and, within some districts, from college to college.

Issue Elaboration

It may be argued that there should be additional differentiation in student charges according to student characteristics or course characteristics, or both. Many students who are enrolled in regular Community College or CSU classes on a part-time basis may be taking such classes primarily for avocational or recreational purposes, and they may be willing and able to pay more than the part-time student fee. It has proven extremely difficult if not impossible, however, to distinguish among students according to their motivation. Thus the state's policy has been, for example, to treat all students in a foreign language class alike. If the class is part of the regular curriculum there is no tuition charge; if it is not, there is.

When the Community Colleges have established the mandatory assessment, counseling, placement, and follow-up programs recommended by the Commission in The Challenge of Change, however, it may be desirable to provide that part-time students who wish to be excluded from those programs may be if they are willing to pay the full cost of the course or courses in which they enroll. Students whose interest in a course is recreational or avocational would thus not be deterred from enrolling if they were willing to pay tuition. Some students who could pay the full cost might choose to take advantage of the system, but no student with a valid occupational or academic objective would be required to pay tuition. It is not immediately evident how such students could be distinguished from other students at CSU, but further investigation may reveal a similar device.

Alternatively, part-time students who have already earned an associate degree or higher might be required to pay the full cost of additional Community College courses, and part-time students who have already earned a baccalaureate degree might be required to pay tuition for undergraduate CSU classes. It is doubtful, however, that many students would willingly reveal their academic record knowing what the cost consequences would be. And it is not necessarily true that students who have already earned one degree have very different reasons for returning for additional study than those who have not.

Policy Options

Option A: Authorize the segmental governing boards to differentiate by level and program in establishing student charges.

Current policy calls for charging graduate students no more than undergraduate students, although graduate students at UC now pay a slightly higher fee. If student charges are significantly increased, it may be appropriate to permit the governing boards to differentiate not only between graduate and undergraduate students but also between lower division and upper division students and between those in low-cost and those in high-cost programs.

Critics of such differentiation, which is authorized in several states, argue that it would lead students to select courses and set educational objectives based upon relative costs rather than upon their talents and interests. Proponents say that it would reduce the subsidy some students provide for other students when charges do not reflect differing costs.

Option B: Charge the "full cost of instruction" for part-time Community College, CSU, and UC students who do not wish to fully "matriculate."

The purpose of this action would be to require students to pay the full cost of instruction in courses they take primarily for avocational or recreational purposes. This would be a reasonable extension of the policy of charging tuition for extension, continuation, and community service courses. The difficulty, however, is that it may not be possible to identify such students except in those Community Colleges where the proposed new assessment, counseling, and placement program has been established.

Option C: Direct the segmental governing boards to establish fees in a manner that will not discourage fully matriculated part-time students from enrolling in additional courses.

For example, imposition of the $50 per semester fee for all Community College students enrolled in credit courses for six or more units, and a fee of $5 per unit for students enrolled for less than six units, may have led many part-time students to take one course rather than two. If the $50 fee is continued, it may be desirable to raise the breaking point from six units to more than six units so that part-time students will not be needlessly discouraged from taking two courses. Alternatively, the per unit charge might be increased so that the cost per (three unit) course is the same whether a student enrolls in one course or two.

Option D: Increase nonresident tuition at the Community Colleges, CSU, and UC to equal the average cost of instruction and all related services, including administration, but excluding research.

Currently, there are approximately 13,300 nonresident undergraduate and graduate students at UC, 8,400 at CSU, and 16,000 in the Community Colleges.

Nonresident tuition at all three public segments, but especially at UC and CSU, remains well below the level of "full-tuition" --

the cost of instruction and all supporting services per FTE student. UC representatives say that this figure cannot be determined, but inasmuch as the independent research universities are able to do so, however roughly, the task should not be beyond the ability of UC or CSU. For 1986-87 it might be expected that "full tuition" for nonresident students would be $9,000-$10,000 at UC and $5,000-$6,000 at CSU.

Alternatively, nonresident tuition might be based upon the "marginal cost" of each additional full-time equivalent student. Depending on how they are calculated, the marginal costs (undergraduate) for 1986-87 would have been $4,500-$5,500 for UC, $3,500-$4,500 for CSU, and $1,500-$2,000 for the Community Colleges.

The principal argument against higher nonresident tuition is, of course, that it would place UC and CSU at a serious competitive disadvantage with other public institutions in attracting students from other states and countries, students who not only contribute to the quality of the institutions in which they are enrolled but who are likely to remain in California following graduation.

Issue 3: What public policy should the Commission recommend regarding the allocation of student support among the various forms of student aid?

Background

The 1960 Master Plan dealt very briefly with student aid and spoke only of grants -- scholarships and fellowships -- in recommending that such aid should be based upon subsistence costs as well as institutional charges. Alternative forms of aid were not discussed. At the time, state expenditures for student aid totaled less than $1.5 million, and federal student aid was essentially nonexistent.

In contrast, nearly $1.5 billion in financial aid was provided in 1985-86 for students enrolled in public and private postsecondary education in California. Fifty percent of this aid was in the form of loans, principally Guaranteed Student Loans, while grants and waivers accounted for 43 percent, and employment 7 percent. These figures indicate that there has been a dramatic shift in the form in which such aid is provided; a dozen years earlier loans accounted for only 25 percent of all aid while grants were approximately 65 percent.*

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*According to the College Entrance Examination Board's data published in its "Trends in Student Aid" series, the trend has been much the same nationally. Between 1975-76 and 1985-86, loans rose from 17 percent to 50 percent of all student aid while grants fell from 80 percent to 46 percent.

State and institutionally administered aid remain largely in the form of grants; it is in the federally administered programs that loans have become the dominant form of aid. Federally administered grants increased by only 54 percent (from $176 million to $271 million) between 1973-74 and 1984-85. Federal loan programs increased by 529 percent ($105 million to $660 million) in the same period. As a consequence, the indebtedness of students, former students, and their parents has also risen rapidly in recent years.

Moreover, in real terms, total federal student aid declined by nearly 10 percent nationally between 1980-81 and 1985-86. Much of this loss was due to the phasing out of veterans' educational benefits and the elimination of educational benefits under the social security program, but clearly federal policy now favors loans over grants. With continuing pressure to hold down federal domestic spending generally, it is likely that loans will continue to be the dominant form of federal student aid and that federal aid in all forms will not keep pace with rising costs and enrollments.* If there is to be a shift back to grants, it is likely to occur only if state aid is increased very substantially.

As compared with students nationwide, California's students receive a slightly smaller percentage of their financial aid in the form of grants (43.0% vs. 44.6% nationally) and loans (47.5% vs. 51.7%) and somewhat more in the form of work (6.7% vs. 3.7%). Loans are also an important source of financial aid in other industrial nations. Japanese students receive no grants but rely on a combination of low tuition and loans. Several European countries have government loan programs not unlike ours except they tend to provide larger "grace" periods before repayment begins and in some cases permit deferred repayment for those going on to low-paying occupations (Cronin).

Issue Elaboration

Many writers who have commented upon the growing reliance upon loans to pay for college costs have painted a bleak picture. For example, Theodore Marchese states:

> The new fact of life confronting middle- and low-income students -- at private and public colleges alike -- is that the big ticket in their aid package will now be a $2,500 loan. Over four years, that's $10,000 in potential indebtedness -- quite a way to start adult life.
>
> Not surprisingly, students will do what they can to avoid owing $10,000. Some decide to skip college (notably minorities). Some enroll at a closer, cheaper institution. In college, they work long hours to avoid debt, and choose majors promising higher-paying jobs that allow debt to be managed. Given debt, graduate studies are postponed or stretched out. Along the way there are drop-outs and push-outs: with big loans incurred but no enhancement of earning power, they are the defaulters.

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*There is evidence that federal student loans may be more costly to the treasury than they appear (Hauptman), but this evidence has not played an important part in the student aid debate in Washington.

> A system that dissuades minority access, twists academic choice, erodes campus participation, undercuts graduate study, and generates a billion dollars a year in defaults has something wrong with it.

Others have expressed concern about the growing indebtedness of students who have been "seduced" into borrowing more than necessary and more than they can repay easily. These writers say that perhaps as many as one-fifth of all GSL borrowers will face "serious hardship" on completing college as a result of their indebtedness (Kramer and Van Dusen). Clearly those with incomes below $20,000 and a repayment obligation equal to 10 percent or more of their gross income will have difficulty meeting that obligation.

These are important considerations, but in California, at least, low-income students receive the bulk of grant aid and are not required to rely heavily on loans to pay for their education. Moreover, a recent survey by the National Association of Financial Aid Administrators suggests that college loan debt is not having a major impact on the borrowers' decisions about marriage, family additions, or major consumer purchases.* Rather than complaining of their debt burden, borrowers credited the loan program with enabling them to enroll in a postsecondary institution and to excercise some choice as to the institution attended.

This last observation is not surprising in view of the fact that in California, as of 1983-84, more than 28 percent of GSL recipients attended independent colleges and universities, and 25 percent attended proprietary schools (42 percent attended a public institution, 7 percent went out of state or into a hospital education program). Thus student loans have become a very important element in student choice -- and a very important factor in the financing of private institutions.

In an effort to reduce reliance upon loans and to permit parents and students to meet their rising costs, some private colleges and universities have developed savings plans commonly referred to as "tuition futures." These plans permit parents to deposit a certain sum with the institution that will, as interest is earned, pay for their children's tuition at that institution when they are old enough to enroll. If the student does not choose to attend the institution or is not eligible, in most cases the parents can recover their initial investment but not the interest. Several institutions also provide early testing and opportunities for academic assistance. Several states are considering similar plans to allow parents to prepay tuition at public institutions. A proposal in Michigan would guarantee tuition at any of the state's 13 four-year colleges, and the possibility of transferring funds to a private institution is also being considered. The desirability of participating in such plans depends, of course, on the rate of return that might be gained by alternative investments and the value of the foregone choice of institution by the student or parents when the student is ready to enroll.

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*Data from a 1985 survey of 3,000 Guaranteed Student Loan borrowers by NASFAA.

Policy Options

Option A: *Increase state funding for grants to match enrollment growth and cost increases but continue to rely on loans as the principal form of student financial aid.*

This is similar to current policy except that state award ceilings have not been raised to match student charges at public or independent institutions.

Option B: *Increase state funding for grants to balance increases in federally guaranteed loan programs and maintain the current grant-loan ratio.*

The current ratio of grant to loan funding under federal and state programs is about 1:2. If federal grant funds continue to shrink and federally authorized loans increase, loans are likely to become the dominant form of aid for all but those students with the lowest incomes.

Some have argued that students should not be allowed to assume loans until they have demonstrated that they are very likely to complete four years and receive a baccalaureate degree (Marchese). This would largely eliminate loans for first-year students at the least selective institutions. It might also greatly reduce the number of high-risk students who drop out after a year or less and are saddled with a large loan and poor employment prospects. But it would also greatly reduce participation by Community College students and largely eliminate proprietary school students.

Option C: *Substantially increase state funding for grants to reverse the shift to loans and return the grant-loan ratio to approximately 1:1.*

An increase in state grants sufficient to have made state and federal grants roughly equal to federally subsidized loans would have required an increase of approximately $225 million in state grants in 1985-86 (on top of existing grants totaling $151 million). Presumably, however, the increase in grants would have reduced the demand for loans so that a grant-loan parity might be reached at somewhat less cost than these figures suggest.

Option D: *Establish a State Loan Bank to provide student loans with extended repayment periods.*

There have been a number of proposals in recent years to establish a publicly operated student loan bank at the federal or state level. Such a bank would be authorized to borrow at government rates and would make loans to students through the institutions in which they enroll. If the interest payments were subsidized, that cost would be met by the federal or state budget. Repayment could be based on each student's subsequent income,* and the repayment period could be extended well beyond what it is now under the Guaranteed Student Loan program. Such a program could supplement or replace the GSL program.

Option E: Increase state support for on-campus and off-campus employment of students.

Greater support for on-campus and off-campus student employment should make it possible for students to meet a greater share of the cost of their education from current income rather than borrowing. Most institutions request more funds for federal work-study than they receive. SB 417 (Hart) establishes the California State Work-Study Program to be administered by the Student Aid Commission. The measure, which authorizes student employment by for-profit as well as nonprofit employers, was signed by the Governor without any funding. Presumably initial funding will be proposed in the Governor's Budget for 1987-88.

Seventeen other states now have their own work-study programs, the largest being in Colorado, Minnesota, and Michigan. It must be remembered, however, that part-time employment as student aid might not benefit underprepared students who need to devote a substantial amount of time to remedial study and tutorial assistance. Moreover, as long as employment is limited to 15-20 hours per week while students are attending classes and wages remain low, work-study income will provide a relatively small share of the aid needed by low-income students attending four-year institutions and particularly the independent colleges and universities.

Other policy options the Commission may want to consider in response to rising educational costs are:

Option F: Adopt a statutory guarantee that all students, regardless of how limited their family resources may be, who complete required college preparatory curricula and are eligible for admission to a two-year or four-year California institution will be provided the financial assistance that they require to attend that institution, based upon uniform estimates of need.

At least one of the reasons that many low-income and minority students drop out of school or do not take the required college preparatory courses is that they do not see themselves as potential college students. Although there are reasons other than financial for this attitude, money certainly plays a part. Low-income parents often do not even consider college education for their children because they perceive costs to be impossible, and the children grow up without encouraging assumptions about going to college.

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*Recent federal legislation provides for an experiment with repayment of National Direct Loans based upon income.

Even if a low-income student is a high achiever, the assumption is often made that college is out of the question. According to Clark Kerr, one major 1980 study showed that there was a differential of up to 15 percent in "college attendance intentions among students in the high ability quartile from families with incomes under $20,000 a year as against those with incomes over $25,000." The result, Kerr states, is an unnecessary talent loss of sizeable proportions (Kerr, pp.115-116). Perhaps this explains in part why CPEC's 1983 eligibility study found that less than one-third of the high-achieving (i.e., eligible) Hispanics actually enrolled in the University of California.

A policy whereby the state informs students and their families during junior high school that the student will be able financially to attend college could have many benefits. Early knowledge that college is possible could greatly influence student course choice, drop-out rates, and perseverance. Teachers would be alerted to viewing low-income minority students in a different light, particularly those trying to break out of the nonacademic tracks. Both students and teachers might be challenged to raise achievement levels if the guarantee were limited to students who are eligible for admission to CSU or UC.

It is not immediately clear how much such a policy would increase student aid costs. Existing student aid is expected to meet the needs of all students who apply and who are determined by current needs assessment standards to require assistance. The increase in cost would come largely as a consequence of succeeding in getting larger numbers of low-income students to go on to postsecondary education, which is an accepted state policy objective now.

Option G: Establish a state-administered tuition savings fund or credit union with appropriate financial incentives, payroll deduction, etc.

This would be similar in several respects to the "tuition futures" plans now being considered in several states. In all probability, however, private financial interests would strongly oppose any plan that threatened to divert a substantial volume of deposits from private financial institutions and reduce demand for profitable student loan accounts.

Option H: Require or permit state grant recipients to perform some form of public service in return for the aid they receive.

Speaking to the Commission in May, Frank Newman stated that the best forms of student aid are those in which students perform some form of public service in return for the aid they receive. Newman spoke specifically of a "teacher corps" made up of aid recipients working in the public schools. If intended primarily to provide employment for students while they are enrolled in a postsecondary institution, this would be similar to, and could be incorporated within the recently authorized California State Work-Study Program. If intended primarily as after-graduation employment, it should be understood that there would be substantial costs associated with organizing and administering such a teacher corps or other public service employment.

Option I: Expand loan debt forgiveness and waive nonresident tuition for graduate students at UC and CSU in fields in which a critical shortage of trained professionals is likely to occur.

This might be expected to attract additional students, including students from other states, into such fields of study in California. The "westward tilt" has long brought to California many teachers, engineers, physicians, and others who were trained at great expense in other states but who prefer to be employed here. This migration might be further encouraged by selectively waiving nonresident tuition or extending loan forgiveness to graduate students in fields in which there is reason to believe a shortage in trained personnel may occur in the absence of such measures. This would supplement the existing loan assumption program for prospective teachers and current segmental nonresident fee policies.

The University of California now provides partial or full waivers for nonresident tuition "to the extent funds are available" to graduate students who are foreign students, students with distinguished records, teaching and research assistants, and dependents of University employees. Currently approximately 1,900 nonresident graduate students at UC receive tuition waivers at a total cost of $7.2 million. CSU is authorized by law to waive nonresident tuition for up to 25 percent of its graduate students.

One difficulty with using student aid in this manner is that forecasting shortages in trained professionals has proven to be very difficult. Moreover, while little is known about the potential effectiveness of tuition waivers, researchers are nearly unanimous that loan forgiveness has not been an effective device for dealing with perceived shortages of trained professionals.

The Commission may wish to consider the following option to provide a performance incentive for high schools and students.

Option J: Establish a Scholarship Recognition Award program to provide grants to a fixed number of high school graduates who either (a) achieve the highest combined GPA and SAT scores or (b) achieve the highest scores on a statewide test, without regard to financial need.

The principal purpose of this program would be to reestablish awards that are based solely on scholastic achievement and that will provide an incentive for such achievement on the part of high school students and the high schools themselves. The most obvious drawback is that such a program might divert funds from existing need-based aid programs.

Issue 4: What public policy should the Commission recommend regarding the impact of state pricing and support on independent institutions?

Background

As detailed in Background Paper No. 6, private postsecondary education in California consists of some 2,800 colleges, universities, professional schools, and occupational schools. Among these, the 181 accredited degree-granting institutions may be the most directly affected by state policies regarding support for the public institutions and student financial aid. These institutions, and especially the 60 such institutions that are members of the Association of Independent California Colleges and Universities (AICCU), compete directly with the state's public institutions for students. In doing so, they rely heavily upon the attractiveness of their academic programs, institutional prestige, differences in size and social environment, and other factors. But because of the substantial difference in tuition between public and independent institutions, the private institutions must also employ price discounts and deferred payment -- student financial aid -- in competing for all but the wealthiest students.

To a lesser but still important degree, the state's more than 2,200 proprietary schools also compete for students with the public Community Colleges. In addition to accelerated programs, more flexible scheduling, and concentration upon immediately marketable skills, the proprietary schools also must be able to offer price discounts and deferred payment plans to attract low-income students.

Both the degree-granting independent colleges and universities and the many licensed, accredited, or state-approved proprietary schools are important educational resources of the state. They include among their numbers some of the nation's leading institutions, provide educational opportunities that are not provided by public institutions, and serve large numbers of students who in their absence would have to be accommodated in public institutions at the taxpayers' expense. Thus, it is important to the state to consider the impact that state policies in regard to institutional support and student aid are likely to have on private institutions. Policies that are too narrowly focused on the public institutions may serve to diminish rather than enhance educational opportunity in California.

Issue Elaboration

For most students who are academically eligible to attend an independent college or university or who can pursue full-time occupational training programs, an important consideration in choosing between a public and a private institution is likely to be the cost of attending the institution and the availability and level of financial aid to offset that cost in whole or in part. In the absence of student aid, private institutions are at a substantial disadvantage.

Despite relatively rapid increases in student charges for UC and CSU in recent years, the "tuition gap" between the state's public universities and the independent colleges and universities has continued to widen. Between 1976-77 and 1985-86, average undergraduate fees at CSU increased from $194 to $658 and at UC from $648 to $1,326. During the same period, the average charge for tuition and other fees at an AICCU institution rose from $3,178 to $7,700.* Thus in terms of their "posted price", the private institutions suffered a significant loss in competitiveness over this ten-year period in comparison with CSU and UC despite the rapid percentage increases in fees for the two public segments.

There are no figures for the average discounted price actually paid by students attending public and private institutions, and such figures would have little meaning in any case unless stratified according to a standard measure of ability to pay. We do know, however, that while average AICCU tuition and fees were rising by 142 percent between 1976-77 and 1985-86, the maximum Cal Grant A award rose only from $2,700 to $4,110, or 52 percent, and the maximum Pell Grant rose from $1,200 to $2,100, or 75 percent. These are the two largest state and federal grant programs, and when they do not rise as fast as tuition and other fees, students must either draw upon other forms and sources of aid -- institutional grants, loans, or work-study -- or pay a greater share of the cost from family resources. Current indicators are that parental contributions are declining while reliance upon institutional grants and, especially (as noted earlier), upon loans has greatly increased.

With important exceptions,** representatives of the independent colleges and universities have said little about the state's "no tuition" policy for the public institutions, but they have argued consistently for increases in student aid and, in particular, for increases in the maximum Cal Grant A award. Specifically, they have advocated setting the maximum award at an amount equal to the average tuition and fees charged by the AICCU institutions ($7,700 in 1985-86). This would not encourage high cost institutions to raise their charges in excess of cost increases, they say, but would offset the growing "tuition gap" between the public and private sectors, reduce the burden on the private institutions in providing aid from institutional sources, and reduce the pressure on students to borrow to pay for their education.

Others argue that tying student aid awards to charges for tuition and fees at private institutions would tend to weaken the incentives for those institutions to control their costs. Some observers believe that the growth in student loans over the last decade has made it possible for private colleges and universities to raise tuition and fees considerably faster than the cost of living. Although at least one researcher has found that college costs have not substantially outpaced the incomes of families with 18- and 19-year-olds in college, there is evidence that costs at private universities, including room and board, are equivalent to a significantly higher fraction of such family incomes than was true ten years ago (Harte).

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*Average tuition and fees paid by Cal Grant A recipients attending AICCU institutions.

**One of the exceptions was Arthur Coons, President of Occidental College and Chairman of the Master Plan Survey Team. Coons advocated a "moderate, modest tuition" for CSU and UC.

Instead of increasing student aid, of course, the state might choose to raise tuition at the public institutions, provide direct financial support to the private sector, or simply maintain its existing policy of focusing upon the financial requirements of the public sector.

Policy Options

The following policy options are intended to represent the range of choices the Commission may wish to consider with respect to providing direct or indirect public support for private institutions.

Option A: Increase student financial aid to match enrollment growth in eligible private and public institutions but provide only for cost increases at public institutions.

This represents essentially a continuation of existing policy, which is to indirectly assist private institutions by providing state grants for students attending private as well as public institutions. Yet while the Cal Grant program has grown faster than enrollment as the state has sought to extend more aid to underrepresented minorities, the aid ceiling has not been raised since 1975-76 to match the growth in tuition at private institutions. Consequently, the number of award recipients attending independent colleges and universities has declined (CPEC 84-12, p.21).

Option B: Increase state support for student financial aid to match enrollment growth and raise maximum award amount to either (1) the average cost of tuition and fees at the independent colleges or universities or (2) the "full cost" per student at CSU.

Raising the maximum award amount as in (1) is the policy most frequently advocated by representatives of the independent colleges and universities, who particularly favor increasing the maximum grant under the Cal Grant A program to match the average tuition and fees charged by AICCU institutions (Kennedy, p.4). The alternative, (2), is advocated by those who believe that the award amount should not be allowed to "chase" tuition increases by the independent institutions and should, in any case, not exceed the cost of enrollment at the least expensive public university.

Option C: Limit or reduce state support for institutionally administered student financial aid in the public institutions and apply that support to existing "portable" aid programs.

State funded, institutionally administered financial aid has only recently become an important element in the total financial aid system. Until 1984-85, nearly all UC administered financial aid was funded from Regents funds and, more recently, student fees. The state is now "buying out" this aid cost (replacing fee support with General Fund support), and in 1986-87 will be funding UC administered financial aid in the amount of $36 million. CSU's State University Grant Program started in 1982-83 and is budgeted for $27.6 million in General Fund support.

All of this aid is awarded to students on the basis of need, but it is not "portable" -- it cannot be taken out of the system. Thus it serves to increase rather than decrease the difference in cost between the public institutions and institutions in the private sector. If this money were used instead to increase the maximum grant awarded under the Cal Grant Program (Option B above), it would have the opposite effect.

Option D: Develop a voucher system for support of public and private postsecondary education.

A full voucher system would cover the cost of every student's education regardless of the type of institution attended. Proponents of vouchers argue that they maximize student choice and encourage productive competititon among similar institutions, public and private. Vouchers, coupled with full-cost pricing, could bring the "discipline of the marketplace" to the operation of colleges and universities and, if need based, reduce or eliminate subsidies to students from high income families.

As compared with vouchers for elementary and high school students, vouchers for college students would be somewhat easier to administer and less likely to conflict with other public policies. If tied to a measure of economic need, they would not necessarily increase state costs and might, in fact, reduce them. However, if vouchers were available to students to take to the institution of their choice, the cost to the taxpayers could increase greatly. In addition, a postsecondary education voucher plan would introduce problems of institutional cost control similar to those experienced with hospitalization insurance.

Moreover, it is questionable whether a full voucher plan could surmount the California Constitutional barrier to state support for private institutions.

Issue 5: What public policy should the Commission recommend regarding the solicitation of private support by public institutions?

Background

Private support -- gifts, bequests, etc. -- from individuals and corporations are, of course, a major source of funding for independent colleges and universities. Capital gifts provide the funds to build and modernize their facilities; endowment income is used to supplement faculty salaries, augment student financial aid, provide instructional equipment and otherwise help bridge the gap between income from tuition and other fees and current operating costs.

Increasingly, public institutions in California are also looking to capital gifts and endowment funds to serve similar purposes. The University of California's endowment was reported to be $716.8 million at the end of 1984-85, making it the eighth largest university endowment in the nation. The Regents recently approved a request by UCLA to increase the goal of its current fundraising drive from $200 million to $300 million. UC Santa Barbara and UC San Diego are also conducting campaigns to raise private funds, and UC Berkeley is planning to begin a $300 million fund drive in 1987.

Private fundraising among the CSU campuses and the Community Colleges has been much less ambitious, but several of them, too, have sought successfully to raise money from private sources -- business, industry, alumni, and others -- to supplement their state and federal funding and student fee income.

Issue Elaboration

Large-scale private fundraising by the public institutions may have an adverse affect on the fundraising abilities of private institutions. If so, this would occur at a time when those institutions may be faced with a decline in private support as a consequence of the recently enacted federal tax changes. The new federal tax laws may cause a reduction in private gifts by reducing the number of itemizers and eliminating the charitable deduction for those who do not itemize expenses and as a consequence of lowering the maximum tax rate (Bowen). They may also reduce giving by subjecting certain donors of assets that have appreciated in value to a 21 percent tax on their gifts. In addition, several of the largest private institutions may be adversely affected by the lowered ceiling on tax exempt borrowing for capital expenditures.

Greater reliance upon private support for public institutions may also reduce the state's ability to enforce its policies with respect to campus development, operating costs, student aid, and other matters. For example, research and other facilities may be constructed with private funds where, according to state policy, they are not appropriate. Perhaps more important, facilities may be constructed or programs begun with privately donated funds leaving the state with responsibility for their continuing maintenance and operation.

Policy Options

Option A: Limit the authority of public postsecondary institutions to solicit private gifts.

Option B: Encourage the public institutions to increase their private fund-raising efforts.

Option C: Make no changes in existing policy regarding private fundraising by public postsecondary institutions.

Existing state policy is to permit the public institutions to solicit private support as they please. The construction of facilities through capital gifts may result in reduced state capital outlay if state funds would otherwise be authorized.

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ISSUE PAPER NO. 3*

GRADUATE EDUCATION AND RESEARCH

Introduction

When we think of California's great public and private universities, we think of research and graduate education. Their greatness is defined by the fact and reputation of their graduate programs and research enterprise.

That we so define our universities is a new phenomenon. The Ph.D. degree has some claim to very early middle age; in this country the first was awarded in 1861. By the end of World War I, the degree had become regularized, degree requirements standardized, and professional associations formed. The years between the world wars saw the Ph.D. disseminated through the full range of academic and professional fields and its production rise from about 600 a year in 1919-20 to more than 3,000 by 1939-40 (CPEC, 1985: 5-7).**

The idea of university knowledge and expertise serving the public interest also has a long history, beginning with the Morrill Land-Grant Act of 1862 and continuing today through agricultural experiment stations and extension services. Campus-based research, as we think of it today (it used to be called "scholarship"), is younger. In the 1939-41 Governor's Budget, just 47 years ago, the University of California listed no funds for organized research, stating that "the primary function of the University is to provide undergraduate instruction" (CPEC, 1986b:3).

Funded research in universities in its present form was "invented" during World War II, when the decision was made to procure defense-related research by supporting research on campuses through contractual arrangements. The best known of that research was seen as having helped to win the war and so the precedent was here to stay.*** The alternate route taken by many countries of establishing independent research institutes similar to the national atomic energy laboratories was not followed as a precedent here in other fields.

By the end of World War II, then, the components of the modern research university had taken form. The two central functions -- generating knowledge and imparting knowledge, as Smelser (1974: 101) puts it -- still formed a more or less equal partnership, but the value placed on "creative contribution" was coming into ascendancy. The technological breakthroughs of the period were so dramatic and had such implications for human history that it became more and more difficult for the accomplishments associated with imparting knowledge -- even if one casts it as "shaping young minds" -- to hold their own in the value hierarchy with the competing possibilities of nuclear fission, disease-free hybrids, or a vaccine for polio.

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*Prepared by Patricia Gerald Bourne.

**This paper draws heavily on two CPEC reports: "Graduate Education in California: Trends and Issues," and "Issues Related to Funding of Research at the University of California," referred to as "CPEC, 1985" and "CPEC, 1986b" respectively.

***The subject matter precedent remained as strong as the structural one -- in 1986, three-fourths of all federal funding to universities nationwide was for defense related work (CPEC, 1986b: 9).

During the 1950s, faculty creative contributions often stood far above other professional activities. The main basis for promotion came to be one's national reputation for scientific and scholarly distinction as demonstrated by competitive offers from other universities, national fellowships, offices in professional associations and publications in refereed professional journals. The more research expanded, the more opportunities were provided for enhancing professional prestige, and the more the acquisition of such prestige became the dominant value of the institution (Smelser, 1974: 71).

This value hierarchy extended beyond the professoriate to institutions of higher education themselves. University prestige was increasingly based on the number of Nobel laureates and other prestigious professors on the faculty, and the level of research funding flowing in. The status of graduate departments was based on the national research reputations of the faculty, which in turn attracted the best students. How many students chose a given department over other competitive offers and where they got jobs when they completed their degrees then confirmed the department's reputation.

If universities or departments did not have graduate programs and research scholars they wanted them, and not simply for prestige. In the stratification that was evolving, research departments and research universities got more resources of every kind. The sense of deprivation on the part of those not yet in the graduate education and research league was sometimes acute, and when these institutions were part of a system with higher-status institutions, the competition and conflict was sometimes acute, too.

It was just such conflict and competition that the Master Plan was in part designed to ease through its definition of role and mission. In Smelser's analysis, "many features of the Master Plan legislation appear as a political compromise between the ambition of the state colleges and the resistance of the university" (Smelser, 1974: 71). The Plan did set limits on the conflict, but by no means set it to rest.

The Master Plan created the following division of labor between UC and CSU for research and graduate education:

> UC was assigned "exclusive jurisdiction...over instruction in the profession of law and over graudate instruction in the profession of medicine, dentistry, and veterinary medicine," and "sole authority in public higher education to award the doctoral degree in all fields of learning, except that it may agree with the California State University to award joint doctoral degrees in selected fields," and to be "the primary state-supported academic agency for research."

> CSU was to have as its "primary function the provision of undergraduate instruction and graduate instruction through the master's degree." Faculty research was "authorized to the extent that it is consistent with the primary function of the California State University and Colleges" (Education Code, Chapter 7, 66500 and Chapter 8, 66608).

These "assignments" have had an enormous impact on both public and private higher education in California and have made our system look quite different from, and many argue, better than that in many other states. It is clear from other states' experience that absent the Master Plan's division of labor, many of our CSUs would have by now developed into "research" universities, offering the doctorate degree in a wide variety of fields and be strongly involved in funded research. This would have had important implications for the way in which the private sector developed, too.

This strategy of dividing the labor was primarily designed to concentrate resources. But it also resulted in the definition of the two systems as different kinds of institutions -- one was about education; the other was about research and graduate training. Two equally proud traditions could have developed -- and perhaps still can -- in the two systems. But the prestige of research and doctoral education was so sharply on the rise that whoever did it was almost bound to see themselves, and be seen, as better than whoever did not. The Master Plan provided no structural constraints to this tendency; the Legislature never funded the instructionally-related research aspect of the Plan which could have strengthened the prestige of instruction itself, and made clear the value it placed on research by assigning differential pay scales, granting differential pay increases, and making a multitude of decisions consistently favoring UC.* Within CSU, "the impetus to carve out a distinctive role," as Smelser puts it, "was much weaker than the drive to attain parity with the University" (Smelser, 1974: 71).

This "drive to attain parity" has characterized a multitude of arguments between UC and CSU over the last 25 years. It is a conflict which Smelser argues is "endemic" because the system is "simultaneously stratified on the basis of values of competitive excellence and legitimized on the basis of values of equal opportunity." This means that those above and below both have "legitimate" claims in any given argument, but "both sets of values cannot be simultaneously realized in such a stratified system." Over the years CSU and UC have struggled over students, resources, programs and "above all, those functions reserved for the university and prohibited to the CSUs" (Smelser, 1974: 140).

To some extent this was because the Master Plan really could only have begun to anticipate the magnitude of the explosion of research and graduate education and its impact on university life that was to come during the 1960s and early 1970s. Although the shape of the modern university was in place shortly after World War II, production of Ph.D.s grew only moderately in the 1950s. The number of Ph.D.s being produced from the end of the war until 1961-62 increased at a rate of about 1,000 per year. Then in 1961-62, this number increased by 2,000, the next year by 3,000, then by 4,000, 5,000 and finally by 6,000 in the year 1969-70.* In 1959-60, 9,800 Ph.D.s were awarded nationally; just thirteen years later, 1972-73 saw the minting of nearly 35,000 new Ph.D.s. This was a period of enormous expansion in university enrollments at all levels, but Ph.D. production was increasing at a faster rate than undergraduate enrollment. In 1950, one Ph.D. had been awarded for every 67 bachelor's degrees; by 1960 that ratio was one to 39, and by 1970 it was one to 26 (CPEC, 1985: 7).

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*This history is told in Smelser, 1974.

Research funding had been growing in the decade before the Master Plan was written -- the University's expenditures on organized research** increased by an average of 13.7% a year between 1952 and 1960. The rate of growth increased only slightly in the 1960s -- to an average 14.5% a year.*** These rates of increase had a stunning impact: UC spent just under $17 million on organized research in 1951-52, and more than $183 million in 1969-70 (from Smelser, 1974: 55, Table 7).

California universities' involvement in graduate education and research is now of enormous magnitude. As of fall 1985, CSU enrolled almost 62,000 graduate students; UC almost 27,000 (Department of Finance, 1985: vi), and private universities 65,000. CSU spent more than $22.7 million on campus based organized research in 1983 (NSF, 1985), UC, $814 million in 1986-87 (CPEC, 1986b: 7) and the private universities, $251 million.

This dramatic growth has changed the character and the focus of California's research and teaching universities alike. At the amount of money spent on research has increased, so has the amount of time and attention paid to it by faculty. As the number of doctoral and master's degree students has increased, so has the time and attention paid to them by faculty. As the value placed on the creation of new knowledge and its necessary companion, specialization, has risen, so has the value placed on the transmission of knowledge and on scholarship**** declined.

Tensions between the old values and the new have inevitably arisen and time has exacerbated rather than healed them. The Undergraduate Education paper summarized high level national reports seeking to define a crisis in American undergraduate education. The source of the crisis is identified in most of these reports as the value placed on research, the preference of researchers for graduate rather than undergraduate students and the growing specialization of research pursuits. The cure, at least in part, is the reassertion of the values of teaching and scholarship the reports suggest.

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*The increase then dropped to about 1,000 per year for three years, declined slightly each year for three years and has held more or less steady since 1977-78.

**The majority of activity in this category is research done on federal and private grants and contracts. Base funding provided by the State for "organized research units" is also included here. Organized research units are attached to a department or division, but their budget and personnel are structurally separate. Directors are typically professors, and faculty members may affiliate with the unit, may arrange to have some of their time "bought" by the unit (generally through an extra-mural grant), and may hire research assistants through the unit. Full time professional researchers may also be employed.

***The annual rate of growth between 1975 and 1985 slowed to 9.3%.

****We use this term in the sense of mastery of a field, synthesis and interpretation.

This paper takes the perspective of the research enterprise rather than that of undergraduate edcuation, and suggests that the simple reassertion of old values within the context of a much-changed university will serve the public interest well. For the research function has its troubles too. Many observers believe that it faces a crisis with even greater implications for the public interest. Much attention has been called recently to a crisis in the competitive abilities of United States technology. Reports of deterioration in economic productivity were highlighted by the President's Commission on Industrial Competitiveness, which described global competition and our weakened role in it. Research and development have been identified as the key to America's response, and a renewed partnership between U.S. industry and the universities has been identified as a critical part of the solution.

California's role in this response will necessarily be important. This Commission has heard substantial testimony arguing that the state's needs for the fruits of research and the Ph.D.s to do that research have escalated. Vice President Frazer argued that "the future health of California's economy depends in great part on the amount and quality of (UC's) research;" Vice Provost Biller elaborated eloquently on this theme.

The University's research has been under enormous pressure. As noted earlier, the rate of growth of support for research at UC slowed substantially in the 1970s and 1980s, due in large part to changes in the federal government's role (the federal share of University expenditures for organized research dropped from 67% to 57% between 1974-75 and 1986-87). Even more striking is the increase in the proportion of federal government support for defense related research -- from one-half in 1980 to three-fourths in 1986 (CPEC, 1986b: 9). This means that funding for research in many, many areas has, in fact, declined dramatically in the last decade.

The state's support for research has been generous, but it is certainly in no position to compensate for shifts in federal priorities. If the research enterprise is to meet the challenge presented to us by the President's Commission on Industrial Competitiveness it must expect resources to expand only moderately, if at all, and find new ways to make the most of them.

It is in this context, then, that this paper will approach the tension between teaching and research in our universities, and between UC and CSU over the roles they play in research and undergraduate education.

The discussion which follows is divided into three parts: first, what division of responsibility between CSU and UC will best serve the State's goals of maximizing research; second, how accessible should graduate education be to the citizens of the State, and what division of responsibility between CSU and UC for graduate education will best serve that criterion (in this section we will consider the special case of the education doctorate). In the third section we deal with issues of university operating policy.

Issue 1: What division of responsiblity between CSU and UC will best serve California's premier research capability?

Background

The Master Plan attempted to resolve the tension between research and the undergraduate teaching function by having the two systems specialize -- CSU in teaching undergraduates and UC in research and doctoral training. But important confusions and contradictions have since arisen.

Contradictions at CSU. CSU's assignment to train students through the master's degree has grown so that CSU now has more than twice the number of graduate students as UC. It is generally agreed that faculty who are teaching graduate students should be at least modestly involved in research in the case of academic fields, and in practice or practice-related research in the case of applied fields.* In 1985-86, CSU awarded 8,338 master's degrees, 27% of which involved a thesis (Stanford, 1986: Table 1), and virtually all of which involved training in research methods. External accrediting agencies expect that faculty involved in training master's level students will be engaged in research.** But CSU's research function is limited to "instructionally-related research" -- a concept whose lack of clarity has certainly contributed to its lack of funding.

CSU is caught in a contradiction in even its clear area of primary responsibility, undergraduate teaching. Neither the principle of instructionally-related research nor any other which would allow CSU to systematically renew and update its faculty has ever been funded, leaving it without a way to support the quality undergraduate teaching the State expects from it. Many argue that this leaves faculty in an untenable position.***

Ambiguities at UC. UC was assigned the functions of research, doctoral education and undergraduate education. One implication of this assignment was that these were to be coequal functions; another implication, following from the first, was that the three functions were complementary, or at least compatible. But as tenure and promotion criteria came to favor research production over all other accomplishments, and as universities came to be ranked against each other by their overall level of research production, faculty came under pressure to do more and more research, but without any change in the level of teaching and university service that was expected of them.*

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*This is often true for undergraduate teachers, too, as research training is part of many undergraduate curricula.

**Recently all five of the CSU's applying for reaccreditation of their business programs with AACSB received deferrals because of insufficient evidence of scholarly publication and research.

***This may explain a CCHE study finding in the early 1970s: when faculty in each of the three segments were asked if they were "satisfied" with their present appointment, 88% of CC faculty said yes, 71% of UC faculty, but only 55% of CSU faculty.

Many argue that this has resulted in unreasonable pressures on UC faculty and that the continuing requirement to be a conscientious teacher in the face of present-day expectations of research output must take its toll somewhere. We certainly know that faculty escape these pressures when they can -- the strongest card a university can play when it is trying to lure a star faculty member away from her/his current appointment, is to offer a position which requires little or no teaching.

In one view, a revision in the division of labor between the systems could resolve these contradictions and ambiguities and liberate substantial research energy in both systems while also improving conditions for undergraduates. But in another view, the current ambiguities and tensions are creative and should be left alone. The difference in these views hinges on their assessment of whether undergraduate teaching and research are complementary or competitive functions.

Issue Elaboration

Does undergraduate teaching contribute to research and vice versa? A Western Association of Schools and Colleges (WASC) phrasing is quintessential: "scholarship and instruction are mutually interdependent and mutually supportive activities which are integral to the mission of any educational institution" (Quoted in CSU, 1981: 2).

There is scarcely a CSU or UC goals statement that does not somewhere in it find occasion to assert this interdependency.** Just what does this mean? -- Some excerpts from a CSU statement on the subject:

> To be effective, faculty members must keep current in their academic fields. By constantly enhancing their own education, they improve the education of their students.
>
> For good education, substantial faculty and student involvement in research, scholarship and creative activity is essential because it teaches by example how knowledge is obtained and how the boundaries of our collective knowledge and understanding are expanded.

Two results of doing research are: (1) it keeps one current in one's field, and (2) it enables one to teach by example "how knowledge is obtained." Though these two ideas are generally spoken in one breath, they are fundamentally different. The first is learning, the second is the production of new knowledge. The first might be called "scholarship" or it might be called "professional development;" the second is "research."

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*Students have periodically made demands for a greater share of faculty time and energy, but they are unlikely to vote with their feet -- that cachet of being at the "best" universities, regardless of the substance of the experience there, is too potent.

**There is some contradiction in UC's position, however; UC argues that research is so important to good undergraduate and graduate teaching that it (UC) should do more of it, but it also generally takes the position that the CSUs should engage in research on a limited basis because CSU's primary mission is undergraduate teaching.

It is indisputable that keeping current in one's field contributes to the teaching function, but whether research -- the creation of new knowledge --does is less clear. Faculty research in most fields now is highly specialized. The body of literature that provides the starting point for a typical research project might constitute appropriate material for perhaps two or three lectures in an upper division course; the research issue itself might be appropriate material for a part of a lecture. One's research only keeps one current, then, in a small part of the areas one is responsible for teaching.

Much of the idea that research contributes to teaching derives from legendary courses taught by, for example, a noted historian, theologian, psychologist or anthropologist who may be writing a book which presents a new synthesis of a field, a new perspective on the facts. The thesis for that book might have developed over several years of writing lectures for an undergraduate course. The lectures will have freshness and conviction because the professor is actually engaging with the ideas, still working things out in his/her mind, and the student benefits from the very latest in the field. This is an ideal scenario in which teaching contributes to research and vice versa. But there are very few professors who write synthetic books in which the scope of their subject coincides with appropriate undergraduate course material.

Another vision is of an undergraduate chemistry major working side by side with a Nobel laureate in the lab. This does sometimes happen. But again, the laureate's work is extraordinarily specialized and he will have to teach that undergraduate a great amount that has very little to do with his research if he is to do the student much good.

Applied research* in applied and professional fields is a special case. These programs must have faculty who are actively engaged in solving real problems in the field to be of any use to students. And here the symbolic relationship may occur again. A good example occurs at the Cal Poly SLO, where an engineering professor assigned his second year students the task of designing a brush compactor, an actual challenge put to him by local nut growers. In such a case, the teacher's mind is actively engaged in searching for solutions to that design problem and the work will be exciting and useful to students; they may even be the ones to solve the problem.

But in nonapplied fields, the arguments that research is vital to quality undergraduate education are unsatisfactory. They certainly do not explain the fervor with which research is pursued on an individual and institutional basis.

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*The National Science Foundation defines basic research as that in which "the primary aim of the investigator is a fuller knowledge or understanding of the subject under study rather than a specific application thereof" (quoted in CPEC, 1986b: 5). Applied research should be distinguished from routine consulting; its results are often applicable to problems common to a number of situations and are normally generalizable enough to be published.

In fact, many see research and undergraduate education not as symbiotic and complementary, but as briskly competitive, with the higher status research/ graduate education always the winner. In this view, the conflict is more than the simple competition for a faculty member's time, but is attributable to two deeply important factors: (1) faculty members are asked to mix three often incompatible tasks -- teaching, research and university/ community service -- which are not valued equally; and (2) faculty members will generally struggle to do research when there is some support for it because it makes their jobs more satisfying and interesting.

Mixing incompatible tasks. Research has higher priority than teaching and public service at UC for two reasons: (1) faculty promotions depend on it; and (2) standing and relationships with one's colleagues depend on it. The tenure system means one works with the same colleague group for the better part of one's career; a group that passes judgement on one's work. Research is frequently what faculty members most enjoy doing and it is also what they are under the most pressure to do.

Thus research has priority in most UC faculty members' work lives, requiring sustained periods of concentration. Teaching and service interrupt; they present faculty with insistent, immediate deadlines -- preparing a lecture, meeting office hours, drafting a committee report, a meeting. Faculty find themselves trying to "make time" for their creative work and to minimize the disruptions created by teaching and service. They may avoid coming to campus certain days of the week, or mornings or afternoons, or they may affiliate with an organized research unit to gain access to a hide-away office.

In this way, the dominance of research in the professional prestige and reward systems of UC can lead not only to neglect of the lesser two functions, but to an active effort to minimize their impact on faculty time and energy, and an attitude of irritation toward them. This is not to imply that all UC professors are irritable about teaching and public service, but is simply to suggest the direction in which the nature of professional work in the university can push personal and collective values.

Research and the quality of work. Another reason that teaching and research are competitive rather than complementary functions has to do with the character of the job of full-time college teaching - the nature of the work day, the rhythm of the career, the sources of satisfaction, reward, and efficacy, the sense college faculty have about themselves doing their jobs.

All that has been said about the nature of a K-12 teacher's job holds true for college teaching. The teaching job has no ladder to it -- the work one does in the classroom the day one retires is exactly the same as it was the day one was hired; there is little opportunity for substantive communication with peers about one's work as a teacher, and one usually operates in isolation; it is very difficult to know whether one is making a difference to students or not (even more true at the college level than in elementary school), and the best and most demanding teaching may sometimes evoke the least appreciative responses.

Research offers college teachers an antidote to these problems. It gives a sense of creating something out of nothing, not simply reproducing and transmitting. It provides puzzles and challenges. It can even provide a sense of efficacy, of having made a contribution. The reward is often collegial recognition and respect, often more gratifying than undergraduate response to teaching.

Perhaps this is what people really mean when they talk about research contributing to undergraduate teaching -- that those who have opted for research or professional involvement change the character of their work lives. Their work now has a progression to it, they have tangible products and affirmation that their work is valued, and they engage in ideas and with peers.

Many of these same effects can be accomplished by the inclusion of "scholarship" in faculty work lives, and in fact it is hard to imagine good teachers without it. Being actively engaged with ideas in one's field directly enriches teaching, and that can be achieved by (1) reading, talking, going to professional meetings, helping students think through issues; (2) writing textbooks in which course material is rethought and resynthesized; and (3) doing original research.

The first two of these activities, what we call here "scholarship," contribute directly both to faculty energy and engagement and to course content. The third, "research," contributes to faculty energy and engagement but rarely to course content and, if combined with a reward system that puts faculty under pressure to publish, competes directly with quality teaching.

Scholarship and teaching, then, can be generally complementary, while research and teaching generally competitive. This competition goes both ways -- undergraduate teaching can be as detrimental to research accomplishment as research is to undergraduate teaching. The implications are that it may benefit both the teaching function and the research function if steps are taken to further specialize the UC and CSU faculties.

In the options that follow, some alternative forms of specialization are suggested. Option 1 is a status quo option with a difference; it does not recommend further specialization, but does accept the argument that California's need for increased research is important and that CSU's interest in doing more research is legitimate, and so funds CSU's existing research mission.

Option 2 would increase specialization by system, giving CSU support for the level of "scholarship" and faculty development necessary for a premier teaching faculty and making it the best in undergraduate education, while UC emphasizes research and doctoral training.

The third set of options applies the principle of specialization within systems, suggesting ways for faculty to focus their efforts more effectively.

Policy Options

Option 1: Recommend that UC continue to be the "primary state-supported agency for research," and that the Governor and the Legislature recognize CSU's instructionally-related research mission by allocating regular General Fund support to its research function.

In this option, though the standard course load at CSU would continue as is, funding would be provided to facilitate acquisition of extramural grants, and funds for extra sabbatical leave and course release for project development would be made available to faculty on a competitive basis. CSU participation in doctoral training would be encouraged through mechanisms such as the joint doctorate, faculty groups, and intersegmental collaboration. Course load adjustments would be available for teaching and individual work with graduate students, and research-active faculty might earn additional course release. Policies requiring measurement of research output in tenure and promotion decisions would be set at the campus level and could apply to all faculty or only to those active in research.

This option would encourage substantial research energy and talent within CSU. CSU faculty have been doing research at a remarkable level given the lack of regularly budgeted state resources. Many of their strengths, especially in applied research, complement UC's research effort. The funding proposed in this option would allow CSU to take advantage of the interest in the state's business and agriculture communities in engaging their talents more fully, as well as many other extramural funding opportunities.

Option 2: Recommend that the Board of Trustees of the California State University launch a major initiative to establish CSU as a premier teaching institution, and that the Governor and the Legislature support this initiative with General Fund monies for faculty development in teaching, for maintaining faculty currency in their fields of scholarship and for faculty research when it is integral to curriculum, especially applied research.

This alternative assumes that strong teaching faculties are at their best only when they continue to actively engage in ideas, to do creative work and to interact with colleague groups, but holds that this can be accomplished within the context of the teaching function.

Intellectual work would center on the subject matter taught and on the teaching act itself. Research would be closely related to teaching subject matter.

Each campus would be responsible for mounting an ongoing faculty development program in which (1) the development of teaching skills is supported, (2) teaching effectiveness is evaluated, (3) faculty currency in their fields is encouraged and supported, and (4) research projects in which students will be directly involved are fostered.

Systemwide and intersegmental conferences might be sponsored in which faculty would share their approach to and experience with teaching particular courses. Campuswide research-update seminars might be planned around developments in pedagogical issues such as minority retention, the part-time student, adult learning theory, or remedial program techniques and results.

Additionally, each campus would be responsible for mounting a teaching support and evaluation system. A clinical supervision model might be implemented in which teaching experts, working with a video team, do confidential classroom evaluations as the faculty member's advocate. New methods for evaluating teaching would be developed, such as peer observation, scrutiny of course syllabi over time, a sampling of graded term papers, interviews with students and advisees, retrospective interviews with former students, and periodic examination of students by an external examiner.

Campuswide and intercampus research update seminars would be planned around research developments in the disciplines. Travel to professional meetings would be supported, not only for those presenting papers, but for those who need to learn about developments in their field. Course release and extra sabbatical leave funds would be made available on a campuswide or divisional basis for research to be integrated into the curriculum. Faculty would compete by submitting proposals. Evidence of integration of work into course offerings would be required.

Campuses would be precluded from using traditional research production criteria to deny faculty salary increases or promotions.

Option 3: Recommend the development of strategies for increasing the efficiency of the research function at CSU and UC by encouraging faculty to specialize in undergraduate teaching, graduate teaching, research or university service.

3a: Recommend that the Board of Trustees of the California State University and the Regents of the University of California adopt policies to encourage and allow differentiation of faculty roles (undergraduate teaching, research, graduate education, and university service) among the systems' faculty. (This option is similar to Issue 3, Option 3, Undergraduate Education paper [No. 11].)

In this alternative, faculty could "negotiate" agreements with department chairs or deans for two to five year periods as to the appropriate mix of their work in research, undergraduate and graduate teaching and university service for the period, and the criteria by which their performance would be judged. This might allow faculty with talent and energy for matters of importance to the institution *qua* institution, or with special teaching talents, such as for integrative lower division courses, to spend time, be rewarded, and be held accountable for their performance in that area. Faculty at UC would be expected to make research (in the production of new knowledge) the chief focus for some portion of their career. This would help focus the energy of faculty with the most research potential, as well as of those with organizational and teaching talent.

3b: Recommend that the Regents of the University of California and the Board of Trustees of the California State University adopt a policy to liberalize course release for research purposes, and develop a cadre of full-time lecturers with security of employment.

A current inhibition to sustained research is the need to replace faculty when extramural funding releases them from teaching. Students, especially graduate students, often create pressure against faculty taking extended leave, and department chairs can be reluctant to grant leave because of the chore of hiring temporary replacements. When part-time lecturers are hired, they often do not meet the advising needs of students or the administrative needs of the department, so faculty often must continue to be involved on campus despite their official release from teaching obligations.

This option proposes hiring a core of lecturers with security of employment (a form of job security based on teaching rather than research criteria) who would fill in for regular faculty on leave, but would be full-time, regular members of the staff. They would be available to students out of class, and would take on a share of departmental and university service. A disadvantage of this alternative, some argue, is that it might create a group of "second class" citizens. But the presence of teaching faculty, fully integrated into university life, might substantially liberate research faculty time and energy and also serve students well.

3c: Recommend that the Regents of the University of California establish a distinct graduate faculty, administratively located in the graduate division and separate from the departments.

This graduate faculty would generally have full responsibility for doctoral education and research and have minimal involvement with the undergraduate program.

Issue 2: Should graduate education be more accessible?

Background

At the time the Master Plan was written, BAs in the top ranked universities and colleges were most often earned by 22-year-olds who had completed their work in four consecutive years. There were exceptions, of course, but full-time for four consecutive years was the norm.

Most college students did not combine academics and work. At most, students might expect to help out in the dining hall, cashier at the bookstore or check out books at the library for a few hours a week -- work that meshed with their life on campus.

Times have changed. In 1982, students at UC took an average of five or six years to complete the BA, and were on average 24 years old at graduation. At CSU, full-time students did not graduate until they were 26 years old, on average, and part-time students were age 30 on average (Commission, 1986b: 89).

In 1982-83, 72.6% of CSU undergraduates worked an average of 23 hours per week even if they were full-time students; 58% of UC students worked an average of 16 hours per week, even though more than 90% were "full-time" students (Commission, 1986b: 75).

Many bemoan these trends and feel that something crucial is lost to students who cannot immerse themselves in college life by participating in campus groups or in extracurricular activities like drama, music, or sports.* Others think the trend is positive, that students who work a substantial number of hours while they go to school mature more quickly, are more serious about both work and school, are are more focused and productive.

There has also been a drop in the percentage of full-time graduate and professional students. The proportion of students enrolled for advanced degrees who are older than 24 increased from just over one-half in 1970 to more than two-thirds in 1983 (Hauptman, 1986: xi). The proportion of students enrolled in graduate programs full-time nationally fell from 46% in 1970 to 41% in 1982 with only 36% of women enrolled full-time. At UC, 93% of graduate students were technically enrolled full-time in 1982, at CSU, only 23% were (Hauptman, 1986: 2-3).

Top students who aspired to professional degress (such as law and medicine) and professional masters degrees (such as MBAs, social work, city planning) did so relatively soon after completing their BAs. They were aware of the national marketplace in their chosen field and that some institutions have "reputations" which will help them to get a job later. They applied to schools throughout the country and enrolled in those which offered them the best financial aid.

This pattern still holds true in many fields and in many universities. But increasingly, especially in professional fields such as social work, business or education, people get a BA, work for several years, establish their families, then decide to go back to school. They may do so because of a career change, job obsolescence, or the realization that people who get ahead generally have higher degrees. In most cases such people would return for a professional masters degree such as the MBA, the MPA, or the MSW. In a few fields, direct line advancement or a switch from practice to administration in the same field may be facilitated by advanced coursework, a credential, or a doctorate.

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*That the full-time residential experience has some real educational benefits is evidenced by experiences with special admit students cited in the Retention issue paper (No. 5).

For these people, the proximity of a college or university is of paramount importance. They have families and mortgages that require them to continue to work; few of their employers would let them reduce to part time even if they could afford it. Additionally, their spouse is likely to be employed, making relocation a complicated and costly undertaking.

This situation arises as fields experience credential inflation -- jobs for which a BA used to be a more than adequate qualification now require the appropriate professional masters degree at entry. What has long been true for law and medicine is now true in such fields as social work, city planning, library science and others. The great explosion in MBA production over the past few years is partly an example of this phenomenon.

Issue Elaboration

This raises an extremely difficult issue for California's public higher education system, with its proud tradition of access to the baccalaureate: doctoral programs are only available on the nine UC campuses and, in a sprinkling of fields, on three CSU campuses through the joint doctoral program. Medicine is available on five campuses, law on three (plus Hastings), veterinary medicine on only one. Professional masters degrees vary, too. Architecture, for instance, is available on only two UC campuses. Public policy has so far assumed that students will either relocate to the site of a CSU or UC program or will attend one of California's many excellent private universities.

Access to the doctoral degree and to training in law and medical fields in a public institution is limited not only by the location of UC campuses, but by UC's residence requirements and its full-time orientation. To earn a doctorate at a UC campus requires relocation, unless one happens to live near one of the nine campuses and can work either part-time or at night. That these constraints are most inhibiting to women and minorities goes without saying, but white male families aren't as portable as they used to be either!

The issue of access has not yet arisen in fields in which the Ph.D. virtually always leads to a career in university teaching or research. But concern has arisen in the case of the education doctorate. CSU has sought authority to grant the doctorate in education, arguing that prospective students in many areas of the state are unable to commute to a UC campus, unable to afford to move, unable to afford to work only part time or not at all, and unable to afford private university tuition. CSU argues that the existing joint doctorate mechanism is not adequate because it is administratively cumbersome and because at least a year of residency is still required at a UC or private campus.

The issue is more acute in education than in most fields. First, an administrator's credential requires three years of practice, so people will inevitably be "returning" to school with all of the attendant complications.*

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*The average time between receiving a BA and completing the doctorate in education is 13 years. This compares to an average of 6 years in chemistry and 10 years in political science. The median age of those receiving the education doctorate in 1984 was 39.6 years, almost 5 years older than the median in any other field (CPEC, 1986c: 13).

Second, those in the field are caught in a situation in which the credential ante has gone up in ways not paralleled in any other field. As Gerritz, Koppich and Guthrie observe:

> Both middle and upper managers in California schools have spent many more years in post-graduate training than have business managers. ...Even lower level school managers have typically spent 2 to 3 years more in full-time academic study than have managers in other fields. ...As competition for jobs becomes ever stiffer, potential school administrators line up for more post-graduate training. With the consistent surplus of qualified candidates for both lower and upper level management jobs in education over the past 20 years, administrators have needed to train intensively simply to hold their positions in the job queue. Regardless of the value of the additional training in terms of increasing job performance, administrators need master's degrees or doctorates simply to compete with othe job seekers who already have those credentials (Gerritz, 1984: 14).

The Administrative Services Credential has traditionally been the door to jobs in educational administration. But the credential has been so attractive, whether it leads to an administrative job or not, and so easy to earn, that a situation of extreme oversupply has resulted (Gerritz, 1984).* To gain an edge in the job market, holders of the Administrative Services Credential often feel they need a doctorate in education.

Nationally, more doctorates are awarded each year in the single field of education than in any other category. In 1984, 6,780 education doctorates were awarded. In that same year, only 5,895 doctorates were awarded nationally in all of the life science fields combined, and 3,528 in all humanities fields.

This situation is quite different in California -- 457 doctorates in education were awarded in 1984, compared to 630 in life sciences and 411 in humanities. California awards 12% of the nation's doctorates in all fields, but only 6.7% of the education doctorates.

Education doctorates have been faring no better -- albeit no worse -- in finding jobs than have those in the social sciences and humanities (see Issue 2A for further discussion of this). The percentage of new doctoral recipients still looking for a job when they completed their degree increased from 14% in 1968 to 23.5% in 1984 (CPEC, 1986c: 12) -- such percentages in other fields in 1984 ranged from a low of 18% in economics to a high of 35% in history. And, as in other fields, the proportion finding a job in a university or college has fallen; even then, though, the percent of new doctorates holding positions in academe was much higher (32%) than that for those employed in elementary and secondary schools (19%) (CPEC, 1986c: 12).

Education is in an almost unique position in its increasing emphasis on the use of the doctorate degree as a credential for practice. A few professionals in social welfare or public administration aim to move into high level agency management positions once they have earned the doctorate, but in no other field is the degree so widely seen as necessary for advancement in jobs which are primarily management and have only a minimal research component.*

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*It is not yet clear how the two-tier credential system which took effect in 1984 will change this situation.

The situation has occurred, though, and the fact is that many people in the field perceive the lack of a doctorate in education as an obstacle to mobility. Given this, and given the limits of geography and finances, the CSUs assert that they are in an excellent position to provide the degree. One of their most outstanding strengths, they argue, is in education programs; their faculty are well grounded in and connected to practice, a factor essential in training educational administrators. Their facilities in education are large enough so that the breadth and depth in specialties necessary for high level graduate work is there. Given the long standing involvement in the master's degree in education, library collections and other support facilities would need only minimal supplement. And finally, the CSUs point out that their campuses are well distributed around the state and their programs are set up to accommodate part-time students.

A number of concerns have been raised about the possibility of CSU offering the education doctorate. These concerns come from a variety of perspectives and define the problem in very different ways.

One point of view is that CSU has asked the wrong question, that before we decide which institutions should offer the doctorate we need to look at what the doctorate should be. This perspective is one which is concerned about the overall situation of graduate education in the field. The requirements for the Ed.D. and Ph.D. are virtually indistinguishable. But if that is so, these critics ask, is a research doctorate appropriate training for an educational administrator? This perspective argues for the development of an Ed.D. with a separate and positive identity as a high level practice degree.

Another perspective takes this argument one step further. It asks why doctoral level training is appropriate at all for education managers, and asserts that increased production of a now seriously diluted degree is no solution to the problems at hand. It argues that we do no favor to the many women and minorities who have struggled to attain the degree** by filling the marketplace yet further, nor do we do a service to those who aspire to the degree to make available to them (at substantial cost), a credential which will offer little in increased status or job mobility.

Proponents of this position often favor the development of a professional master's degree, similar to the MBA or MSW, accompanied perhaps by a license examination similar to those in law or architecture. But whatever the solution, this position holds that it is time for a "Flexner report"* on, and major reforms in, advanced training in education.

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*The Doctorate in Engineering is an applied degree, earned almost entirely by those intending to work in industry, but in this case, the work is essentially research and the situation is more closely analogous to Ph.D.s in chemistry going to work for industry than it is to education.

**Fifty-five percent of doctorates awarded to Black students in the last five years have been in education; slightly more than half of all degrees now go to women (CPEC, 1986c).

Yet another perspective is that the situation is as it is and we cannot change it by penalizing those who are caught in it. It argues that the question of need for the education doctorate, now being addressed by CPEC, is moot because it will not resolve equity and access questions. In this view, the basic policy question still remains: does the state have a responsibility to make degrees that have become necessary for entry into a given field accessible geographically and on a part-time basis? When it comes to solutions, this perspective splits into two sharply opposing camps.

The first argues that CSU is extremely well placed to award the doctorate in education independently, and that the granting of authority to it to do so is the only economical and sensible solution.

The opposing position is that authority for the doctorate degree should remain with UC and the private universities, and that there are several ways to solve the problems short of CSU granting the doctorate independently. They suggest that cooperative arrangements between UC, the private universities, and CSU could be designed so that doctoral degree-granting institutions would lend their authority, reputation, expertise, and resources to programs which operate primarily on CSU campuses. The joint doctorate might be expanded, and a new mechanism might be devised by which UC contracts with a CSU campus for the provision of doctoral training in instances in which UC cannot provide it. UC might establish programs on the extended university model in which CSU faculty would participate, and intersegmental faculty groups might be facilitated. Under these arrangements, over production of doctorates could be avoided by transferring some of the existing capacity of one of the new arrangements in a new location.

This latter position holds that it is not only important to continue to concentrate public resources for doctoral training in UC, but that UC has an obligation to extend the reach of its opportunities. The world has changed, it is argued, and when elite universities continue business as usual, they limit access to the underrepresented groups who most need the elite institution's high quality training, the prestige their degree lends to those who hold it, and the professional connections their faculties can provide. Many "second tier" institutions nationally have made their graduate degrees widely "accessible" to those for whom access is most an issue. It is thus often seen as unprestigious to do so, and few top rank universities have ventured to experiment in these ways. California, these advocates argue, is in an excellent position to take leadership in the design of systems which would make the very best in advanced higher education accessible to its full citizenry.

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*This was the seminal report that revolutionized medical education in this country at the beginning of the century.

Policy Options

Option 1: **Recommend that CPEC study the question of need for increased access to graduate programs (geographical and part-time), and that the Regents of the University of California and the Board of Trustees of the California State University constitute an intersegmental group which would be charged with reviewing all fields in which the doctorate has become a credential for professional practice, and with taking steps to replace the practice specialization within those fields with high quality professional master's degree programs and counterpart practice exams in those fields.**

This option takes the stance that access is an issue to be addressed in all graduate fields, not just education. It also takes the postition that the doctorate degree is an inappropriate credential for practice at any level, and that when a situation arises in which a doctorate is required for a level of work that needs only a professional masters degree in other fields, resources are wasted by over training or inappropriate training, and students who are caught in this situation may sometimes be exploited.

Option 2:* Recommend that the Legislature and the Governor create a "joint programs board," which would coordinate and administer all intersegmental education programs, Kindergarten-Ph.D.

This Board would be composed of members from UC, CSU, and CCC, as well as representatives from the independent colleges and the State Board of Education. This Board could examine the issue of access to doctoral programs in education, as one of its tasks. If a need were determined, it would have the authority to establish a program to meet the need. Four strategies it might employ are:

2a: Facilitation of a joint doctoral program with a CSU and a UC or private campus, with a strong financial aid component.

This option seeks to make more extensive use of the joint doctorate mechanism which many argue has excellent potential. Most of those experienced with the program feel that procedures need to be streamlined and a climate of cooperation established. The major drawback of this degree arrangement from the student's point of view is the necessity to be in residency on a UC or private campus for a year. A strong financial aid component would make this less of a deterrent, while retaining the advantages of a year of immersion which many observers feel is so important to the quality of the degree.

2b: Facilitation of a contract between UC and a CSU campus for operation of an independent doctorate degree.

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*A refinement of this option was presented at the March 18, 1987 Commission meeting and is outlined in Attachment A.

In situations in which UC cannot meet a need for doctoral training, this option proposes that it "contract" with a CSU campus. In this way, UC would specify the job to be done, as in any contract situation, and would have an ongoing contractor relationship, but the CSU campus would do the job of providing doctoral training independently. In this option, students would not have to get faculty approvals from two campuses and would not have to establish residency away from their "home" campus. It has the advantage that UC, in the role of contractor, would exercise quality control, so the degree would have the status of a UC degree and public confidence in the program would be high from the outset.

2c: Facilitation of an extraordinary financial aid fund to support students at a private university or a UC campus.

This option has the advantage of using the excellent existing resources of the state's private universities and those of UC. No new programs would need to be set up, no approvals, no contracts, no negotiations. California could simply pay for students for whom geographic and part-time access is an impediment to attend a well known and established quality program. As suggested in the Budgeting Issue Paper (No. 7), this voucher-style option can be highly cost effective, especially in situations of dispersed geographic or uncertain long term demand.

2d: Facilitation of an "extended university" program located in a geographical area of need.

In this model, UC faculty travel to an area and give courses there. Residence at a UC campus thus becomes moot. Previous experiments with this model have had good results (UC Santa Cruz in San Jose and Fresno, for instance); core faculty are generally hired to be in residence at the extended university site and others take turns coming in for courses. In many fields, the high-speed copier has drastically diminished reliance on library facilities, so such a program can function quite well in its remote site, replenished regularly from home base. The advantage, of course, is that existing curricula and faculty can be employed, the students do not have to relocate, they gain the benefits of training by UC faculty and the prestige of a UC degree.

Option 3: Recommend that the Legisltuare and the Governor amend the role and mission of CSU so that it has the authority to award the doctorate in education independently.

Proponents of this option have full confidence in CSU's ability to mount an innovative, high quality program and feel that constraining CSU from offering an applied doctoral program in education does not recognize the changes that have occurred in California and in the profession of public education since 1960. As a solution to the problem of access, they feel removing this constraint is the simplest solution for students, faculty, and even for administrators because it capitalizes on existing resources and fully serves the needs of students. Because new program proposals are subject to all the usual reviews and studies of need by the system and by CPEC, proponents of this option suspect that those who stress demonstration of need are simply hoping to divert the discussion from the issue of access.

Opponents of this option argue that there is already more than adequate capacity in existing public and private programs and creating new programs is wasteful. They think that the role and mission issue is extremely important, that the greatness of California's universities is largely due to the genius of the Master Plan's division of labor, and that to make an exception is simply to open the door to endless exceptions and an eventual erosion of the Plan. Certainly UC is aware of just how expensive it is to run competitive doctoral and research programs and is, therefore, concerned about resources. If CSU was competing for these resources, especially if it will in some cases need investment in infrastructure, UC may argue that resources would be diverted from UC, and there would still not be enough to give CSU what it really needs.

The private universities have a similar concern; they have built up capacity for producing the education doctorate in response to current market conditions by serving a need not met by most UC campuses. CSU would serve much the same market as they do, and at a price they cannot compete with because of a substantial state subsidy.

Opponents of this option also feel that the addition of an independent doctorate program in education would do CSU itself no good. They have observed the dynamics on some of the newer UC campuses when some departments have doctorate programs and others do not; it inevitably leads to striving to join the ranks of those who do offer the Ph.D., and this, some feel, would lead to destructive conflict within CSU. These opponents candidly argue that the Legislature will never devote enough resources to CSU for doctorate programs so that the system will be able to establish first class degrees.

Option 4: Recommend that no change be made in current provisions for graduate training in the state.

This option rejects the argument that graduate degrees must be more accessible geographically and on a part-time basis, and holds that the private universities and UC are adequately meeting current needs and are capable of responding to new ones as they develop.

Issue 3: Internal policy in graduate education and research

UC and CSU normally establish internal policy and practice regarding the size of their graduate programs, admission policies, quality and content of graduate training, and areas of research to be pursued. In most instances, the universities' expertise is assumed to be so arcane that review of such matters from outside is inappropriate. But there are certain instances in which internal structural factors and funding mechanisms mean that the universities' interests, or disinterests, as institutions may not coincide with those of the state.

Several such instances have arisen in the past two decades:

A. The production of graduate degrees. This issue was raised by the severe slump in the market for university teachers in the mid-seventies and shifts in student interest, leaving new Ph.D.s in some fields unemployable. The difficulty with the principle of self-regulation in the production of masters and Ph.D. degrees is that the universities have slight incentive to curtail enrollments, since funding is enrollment driven.

B. The ability of current methods of evaluation to assure the maintenance of the quality of graduate programs, across the board, and especially those in which student interest is now markedly low. Here again, UC and CSU have no internal incentive to design evaluation procedures which might recommend discontinuation of a program valued by the institution. Further, it has been complained that professional association accreditors and reviewers often cooperate with the reviewees' resource aspirations within the university, threatening to withhold accreditation, for instance, if new resources are not allocated to the program being reviewed. Again, this calls into question the adequacy of current methods of evaluation.

C. The relationship between university research agendas and state interests and priorities. UC has, in effect, raised this issue itself, by the practice of adding requests for funding for particular research areas to its block funding request. The Legislative Analyst (and others) have complained that since UC is, in effect, the State's agency for research, the State has no way of judging the merits of particular research topics in relation to the activities for which the block grant already provides. Other than donors of unrestricted gifts, the State is currently the only funder of research at UC which does not set priorities for the use of its funds.

D. The University's lack of internal incentive (beyond the personal commitment of its leaders) to increase the participation and success of minority students in Ph.D. programs.

E. The University's disincentive to limit the enrollment of foreign students even when this enrollment becomes unusually high.

Issue 3A: Should the production of graduate degrees be tied to manpower requirements?

Background*

In the 1950s and 1960s, a national concern over a projected shortage of Ph.D.s led established doctorate programs to expand, and new universities to begin to offer the doctorate in most of the basic disciplines. But supply and demand began to change, and by 1972 the number of doctoral degrees conferred had peaked. After 1972 it declined slightly and has remained more or less steady since 1976 (CPEC, 1985: 7, Table 1). By that time, Berkeley ranked first in the country in the number of doctorates conferred and other California universities had become major producers, too -- UCLA ranked 12th, Stanford 13th, and USC 16th. The resultant excess capacity posed serious planning issues which remain today (CPEC, 1985: 9-10).

Issue Elaboration

This so-called shift in supply and demand** had enormous implications for thousands of young people's careers. Many had embarked on a program of graduate study in the middle or late sixties when programs were booming. But if they tarried too long over their dissertations they found themselves in a seriously depressed job market.

In many fields, university teaching is the only profession that requires the Ph.D.; of those who earned doctorates in the humanities in the early 1960s, for instance, 93% took academic positions. In other fields the Ph.D. is as frequently a credential for full-time research as for college teaching, and recipients routinely work for industry or government. In 1960, only 54% of Ph.D. physical scientists and engineers took academic positions (UC, 1986a: 8-9).

By 1980 the proportion of those earning Ph.D.s who took academic jobs had fallen from 51% to 34% among engineers and physical scientists, and from 93%

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*The following discussion focuses on UC and the Ph.D. degree, but similar situations exist in professional fields such as law and dentistry, and for many master's degrees. The situation with the Ph.D. degree is intended as an example of the way in which degree production can get out of sync with manpower requirements and stay that way for substantial periods of time. The options for this issue apply to all graduate degrees.

**"Demand" means two different things -- demand in the marketplace for holders of the degree, and demand for the degree on the part of students. Applications to programs and decisions along the way to continue or not are to some degree the product of perceived demand for Ph.D.s in a given field (manpower requirements). But other factors play a role in student demand, too -- fashion, availability and attractiveness of alternatives, current armed services recruitment policy, availability of financial support for graduate study, and love of learning.

to 75% among humanists* (UC, 1986a: 9). The percentage changes are similar across the board, but what was dislocating for scientists and engineers was catastrophic for humanists. Since college teaching had been the only job to require a Ph.D. in humanities, there were few alternative sources of employment in which one's credential was recognized and valued; for the great majority of humanists it meant putting their many years of training completely behind them and starting over.

Even for social scientists, alternative employment opportunities were contracting at the same time, and many of them found themselves starting over, too. Freezes on federal, state, and local government hiring meant professional level jobs were virtually always filled from internal transfers. The Federal government was cutting back on social science research, social services, and program evaluation, so job openings in consulting firms and research institutes were also limited.

In the 1960s, only about 10% of those receiving Ph.D. degrees had not yet found a job by the time they graduated. (New Ph.D.s generally used to have job offers several months before actually completing their degrees and a great many were, and sometimes still are, hired before completing their degrees, finishing their dissertations on the job.) But since 1976, the number of those without jobs at graduation has averaged about 25%. In 1982, 40% of those completing their degrees in anthropology had not yet found a job, 34% in history, 32% in both foreign languages and English, and 29% in philosophy (CPEC, 1985: 14).

One of the most distressing features of this recession was that its prediction should have been so simple. The absolute number of 18-year-olds would begin to decline in 1980. This did not involve guesswork, as they had been in the census data for 18 years. Still, no warning was sounded in academia, within the earshot of incoming graduate students anyway. And once the recession was in full swing, many argue that the nation's univeristies put their heads in the sand and continued to accept graduate students at more or less the same rate until market forces, ie., the would-be students themselves, constrained the flow.

This history has left some observers with a mistrust of the universities on this issue; they argue that the universities have no incentive to stem the flow of Ph.D. aspirants and are hungry for enrollment-driven funding. The universities today argue that no harm was done, that most found jobs that used their training in some way, and that a society can only be the richer for more educated men and women.

As much as these people who never found jobs may have loved learning, few of them would have embarked on seven or eight years of graduate training if they thought they would end up with jobs they could have had without the training to begin with.

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*Social scientists experienced a similar jolt: acacemic employment fell from 71% to 53% in the same period. UC argues that part of this shift is due to a "considerable expansion of fields that serve large nonacademic job markets, notably psychology" (UC, 1986: 9). Psychology Ph.D.s awarded nationally did increase from 2,587 in 1977-78 to 2,780 in 1981-82, a 7% increase. Psychology degrees as a proportion of all social science degrees increased in that period from 42% to 48% (CPEC, 1985: 30, from Table 5).

Ironically, many of these people are doing something less fulfilling, less remunerative, and less contributary than they would have if they had never gone to graduate school in the first place; they have started from scratch late in life and with a legacy of disappointment and failure, a sense of not having ever become what they could have been.

Costs to the economy and to the taxpayer are also involved here. Had these poeple not been in graduate school, they would have been establishing themselves in careers in which their intelligence and skill might have been well utilized and in which they might have been making a contribution. And, the training they got was not free.

The University is unable to calculate the cost of training Ph.D.s. In the Budgeting Issue Paper (No. 7), the cost of training an undergraduate was estimated at $10,000.* Graduate training is acknowledged to be substantially more expensive than undergraduate, but let us assume only the $10,000 annual figure. The median time to earn a degree for all fields excluding education at UC is 7.1 years. Students are funded on the assumption that they are full time until they are advanced to candidacy and for three years after that. If we assume that Ph.D. students are funded by the state for six years, a Ph.D. would cost the taxpayers $60,000.

There is considerable evidence that the current level of production of Ph.D.s is still too high and will be for several more years. In a recent report, CPEC concluded:

> ...There is virtually unanimous agreement that the market for college teachers -- traditionally the major market for new doctorates -- will remain depressed in all but a few fields for at least another decade. According to William G. Bowen, President of Princeton University, "the outlook for academic employment over the next fifteen years can only be described as bleak." "It is clear," Bowen argues, "that at no time during this period will the total demand for Ph.D.s in academe come close to matching the corresponding supply of Ph.D.s." And in a national study of humanities doctorates by Dorothy Harrison, Ernest May, and Lewis Solmon, they estimated that "all jobs in English, including those in Community Colleges, during the 1980s could be filled by the Ph.D.s that will issue from 15 institutions. All jobs in philosophy could be filled by the products of ten institutions; all jobs in history by the products of six institutions: Columbia, Wisconsin, Harvard, Berkeley, Chicago, and Yale, leaving no jobs for Ph.D.s from Michigan, Stanford, Penn, Princeton, Cornell, Duke, Johns Hopkins, etc. (CPEC, 1985: 14).

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*The "marginal" cost to the state of adding one student is $4,336 for a gradute student and $4,769 for an undergraduate (the latter is higher because of teaching assistant costs). This is the amount the Legislature pays the University for each additional student it wins enrollment funding for. Marginal costs include, though, only the cost of professors, teaching assistants and librarians, not costs such as equipment, administration, maintenance and plant operation (California Legislature, 1986-87: 1354-55).

This indicates that though Ph.D. production has slowed somewhat, especially in the most overcrowded fields, still too many are being produced.

We might approximate the level of overproduction by taking the proportion of those earning doctorates in 1960-64 who obtained academic employment as an index, since those were strong market years. Academic employment of humanists who earned doctorates in these years was 93%, of social scientists, 71%. These proportions fell to 75% and 54% respectively by 1980, differences of 18% and 17% respectively (as cited above, UC, 1986: 9).* Thus we can estimate that in 1980 an additional 18% of humanists earning Ph.D.s would have taken an academic job if they could have gotten one, as would an additional 17% of the social scientists. UC awarded 255 Ph.D.s in the social sciences in 1981-82 and 105 Ph.D.s in Letters (CPEC, 1985: Table 8, 45-47). Had jobs been available, then, an additional 43 social scientists and 19 humanists would have taken academic employment in that year. Among the 255 Ph.D.s in social sciences UC awarded in 1981-82, of those who did not go into college teaching, we can estimate that about 43 would have taken academic jobs if they had been available. Of the 105 humanities Ph.D.s, we can estimate that 19 would have gone into academic positions if they had been available.**

Though there is general agreement that there is still a surplus of Ph.D.s being produced today, experts differ on predictions about the future. The University projects a need to increase the production of Ph.D.s in the near future. Its projection differs from some national ones because California: of what it argues are special features of expected economic growth in the state and the need for nonacademic Ph.D.s in new areas of technology, an increase in the college-age population, due not only to the baby "boomlet" but also to the age distribution among minority groups which are expected to increase in California, and the upcoming bulge in faculty retirements. (See the issue paper on Faculty Resources for further discussion of these projections.) UC predicts that 40%, or 3,000 of the University's ladder faculty will retire by the year 2000. Taking into account other turnover and an increase in undergraduate enrollment, another 3,000 faculty will be needed. To fill these nearly 6,000 vacancies, the University calculates it will need to hire just over 400 faculty per year between now and the year 2000. Faculty recruitment averages about 300 per year at present (UC, 1986a: 8).

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*Another way of estimating this would have been to take the difference between the "still looking at graduation" rate in the 1960s (10%) vs. 1980 (25%), which is 15%. Since this is an across-the-board figure, the rate in the humanities and social sciences would be higher.

**Were these Ph.D.s unable to find employment that utilized their training, we could consider the state's investment, apart from the value of knowledge imparted, to be substantially wasted. Taking the median time to complete the degree at UC of 7.1 years, at the low estimate of $10,000/year, each "wasted" degree cost $71,000. The cost, then for 43 social science plus 19 humanities degrees each year alone, is $4,402,000. The "marginal cost" -- the amount the Legislature pays the University for each additional graduate student it agrees to fund is $4,796 in 1985-86 -- to the State of funding these students amounts to $2,099,313 per year at a median time to degree of 7.1 years.

Any evaluation of the reliability of these projections is inappropriate here. What may, however, be relevant to these deliberations is to note that UC's response to projections of increase in manpower requirements is invariably to increase enrollments. Other strategies might contribute to a solution as well. The Legislative Analyst has complained more than once that the University might gain the capacity it says it needs in certain disciplines by reallocating current enrollment (California Legislature, 1986-87: 1245-46, for instance). UC makes passing mention of the fact that more new Ph.D.s are still available for academic employment in many fields every year than can currently find jobs (UC, 1986a: 13), but some creative ways of capturing past surpluses might bear exploration, too. For instance, UC might develop programs to "retread" some of the people who have Ph.D.s but have never had an academic position. CSU might do the same; it has an additional pool of talent available, some of those who did not get tenure at UC in the past decade, many of whom would have come to the CSUs had there been the opportunity. Six months or a year of reimmersion would certainly cost the state much less than starting over.

California's obligation to renew the ranks of academe has an interesting policy twist to it: institutions generally try to avoid hiring their own Ph.D.s, at least initially, so California is largely doing its share to train a national pool of academics.

The issue here is whether UC's goals in this regard are likely to be congruent with those of the State and whether the setting of enrollment policy internally best serves the public interest. Some argue that UC has ambitious agendas -- as it should have -- and is oriented toward generating new resources, and that we cannot thus expect it to give the Legislature "objective" advice about its needs for expanded enrollments. Others argue that the University's enrollment policies have served the state well -- witness the fact that our graduate programs are among our proudest resources, and that the lessons learned in the 1970s have now been integrated into UC's planning process (see UC, 1986a).

Policy Options

Option 1: Recommend that the Regents of the University of California and the Board of Trustees of the California State University carefully review the current production of graduate degrees on each campus and in each discipline and adjust enrollments in accordance with projected market needs.

This option assumes that it is not in the public interest to fund graduate level training unless degree recipients will normally utilize their training in their future jobs. It places responsibility with the governing boards.

Option 2: Recommend that CPEC conduct manpower needs studies for graduate degrees on a regularly scheduled basis and that those studies inform Legislative decisions with respect to requests for increased enrollment funding.

This option suggests that an on-going monitoring procedure is necessary and ties state funding to job market conditions.

Option 3: Make no recommendation, thus maintaining the current situation in which graduate enrollments are a product of student demand at CSU, the ability of UC to win enrollment funding from the Legislature and the universities' willingness to absorb students without additional funding.

Option 4: Recommend that UC and CSU be required to publish in its graduate program announcements and catalogues the numbers of graduate degrees produced each year by department and a summary of the employment status of degree recipients over the last five years, and to inform all applicants to graduate programs that a list of specific placements is available.

By ensuring that information on the employment record of recent degree recipients is readily available to potential applicants, this option would enable students to better assess the investment they will be making when they choose a graduate program.

Issue 3B: What public policy should the Commission recommend regarding evaluation of the quality of graduate programs?

Background

California's universities have a reputation for excellent graduate programs. When we say a graduate program is excellent we usually mean that we have heard of it -- its faculty are well known because they have written books and articles that have been published, or painted paintings that have been shown, and so on. The more faculty in a program who write books that are published or symphonies that are performed, the more a reputation builds that the program is a place where things are happening, where brilliant and creative people are clustered, where new developments in the field are taking place. As this reputation builds, more students apply and more are thus turned away, so the department gains a reputation for being very selective, one where only the very best students are.

Prospective graduate students generally choose a graduate program on these criteria, though available financial support will weigh heavily, too. Once enrolled, they become more sophisticated consumers and become aware of some factors which only other faculty in the field would be aware of -- breadth, depth, and strength in disciplinary sub-specialities, universitywide strengths in related disciplines, in libraries and in specialized equipment in that field -- and some that only they as students are likely to think important. These may include such intangibles as department morale, and the spirit of the department and more concrete issues such as whether particular faculty are actually on campus that year or semester, the degree to which they are available outside the classroom, the promptness and thoroughness with which they comment on papers, their ability to incorporate students into their research activities or connect them with others who can.

As students move through the program they come to value things such as opportunities to earn money that complement their training (especially research assistantships) rather than compete with it, opportunities for apprenticeship experiences in research (especially if they generate a dissertation topic), and expectations about the scope of qualifying exams that are relatively clear and consistent. Once in their first job, they will appreciate having had experience as a TA in courses they will now teach and having been encouraged or helped to get one or two publications on their record.

When things go wrong with graduate programs, it is rarely immediately obvious. Public reputations can persist long after circumstances have changed. Division heads and deans are probably the first to notice, but until the public reputation sags, they infrequently have a compelling motivation to intervene, and few tools with which to do so.

The universities are well aware of these structural problems and have instituted elaborate mechanisms for program review. Procedures are set at the campus level,* and therefore vary widely, but the norm at both CSU and UC is to review programs on a five year cycle. An ad hoc committee is generally constituted of faculty from other departments on campus, including in some instances an external member.** Meetings are held with sub-groups of faculty, graduate students, non-Senate academic personnel, staff, and minority and women students. Data is compiled on degree programs, curriculum offerings, support programs, evidence of demand for program, enrollment figures, degrees granted, time to complete degree, faculty research, faculty advising system, admissions standards and procedures, selection procedures, degrees awarded in the last five years, GRE scores of current students, sources of student support, placement record, students opinion, the academic and social environment of the program, physical facilities and resources, department administration, and the five-year academic plan.

Meetings are convened to discuss the results of the review and formulate recommendations among the ad hoc chair, representatives of the reviewed unit, appropriate Senate committee chairs and administration representatives.

At UC results of campus reviews in summary form are reported annually to the Associate Vice President -- Academic Affairs; a consolidated report goes to CPEC from both CSU and UC.

CPEC's role is to establish "a schedule for the segmental review of selected programs, evaluate the program review process of the segments, and report its findings to the Governor and Legislature" (Education Code).

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*CPEC has noted that there are a variety of approaches to evaluation among the campuses, some of which, it says, are "clearly less thorough and objective than others." (CPEC's intention is to encourage "uniformity and thoroughness" (CPEC, 1986a: 6).

**At UC Irvine, a campus committee coordinates the evaluation process, but the actual review committee is made up entirely of external members.

Each segment must include with its annual academic master plan a list of programs due for review on each campus in the subsequent two years. Each segment is also to submit an annual summary of review activities on all campuses, including the conclusions and recommendations of each review. (These summaries are generally two to three paragraphs long, though may be much less in many cases (CPEC, 1986a: 6 and Appendix B)). Provisions exist for universitywide reviews in special cases. Many programs are reviewed by professional associations and are accredited at intervals determined by the accrediting agency -- anywhere from two to ten years. Campuses are also accredited every 10 years (with 5-year follow up visits) by the Western Association of Schools and Colleges (WASC) (UC, 1986b).

Issue Elaboration

The Council on Postsecondary Accreditation has recently completed a self-study in which it expresses a need for renewal and redirection in the accreditation system. We quote at some length:

> The goal of accreditation in education is to promote programs and institutions that are excellent and that demonstrate in their actual performance the highest possible quality, whether measured in terms of the learning of individual students, the significance of the research efforts, or the value of the educational service that has been provided. Measured against this goal, we believe that accreditation in America in 1986 falls short of providing the quality assurance that our nation deserves from our private and public colleges and universities as we look to the Twenty-First Century, and that our civic and political leaders increasingly, and correctly, demand.
>
> Far too often the participants in the accreditation process focus their efforts on minimal, barely adequate, standards. These, moreover, are often imposed in a highly technical and bureaucratic fashion, without addressing the challenge of promoting improved standards in our teaching and learning programs. Put another way, the value of getting a program or a college "accredited" is seen as a useful and important license that serves the perhaps narrower interest of the licensor and the licensee without sufficient regard to the interests of the ultimate licensee -- the United States and its public interest in quality higher education (COPA, 1986: 1-2).

The self-study panel also raises issues about professional accreditation bodies:

> It is often said, and unfortunately at time with justification, that accreditation, particularly by representatives of specialized professional and occupational programs, is self-serving. Either the specialized accrediting body is perceived as promoting a self-protective system to control a market in one way or another, or it is believed that the specialized programs in our nation's colleges and universities are in league with their professional colleagues from the national profession in a back-scratching kind of relationship (COPA, 1986: 2).

Some critics argue that the same is sometimes true of campus program reviews, especially those conducted without outside reviewers, though these are not exempt from the same criticism either. Campus review procedures are extraordinarily careful and certainly copious, but care cannot compensate if the flaw is structural. And the structural flaw, this position holds, is that colleagues are reviewing colleagues who will in their own turn be reviewed by colleagues. Further, though students are consulted in this process, the review cannot, by definition, take their perspective, nor that of the taxpayers.

The opposing argument is that colleagues can, in fact, be brutally frank with each other, that faculty are professionals and will take the perspective of the welfare of students and the university and the scholarly community. Further, it is argued, academic programs are so specialized that no one besides other faculty are capable of evaluating quality.

Recently, new concerns have been raised about the quality of some graduate programs and the ability of the review process to come to grips with the problems. In the early 1970s, major shifts in demand for graduate degrees began to occur, with enrollments increasing in a few fields, generally "applied" subjects, and dropping in the traditional liberal arts fields. A recent CPEC report found substantial enrollment losses in many fields.

As the CPEC report observes, quantity is not necessarily associated with quality, but "an effective program requires a certain minimum number of faculty and students -- a 'critical mass' -- to interact, stimulate, challenge and reinforce" (CPEC, 1985:70). Certainly, changes of this magnitude warrant special attention, but such a case is an example of an instance in which internal review processes can be limited. In a situation where major program consolidations may be in order, each campus will struggle to be the prevailing program into which other campuses' programs will fold. In this case, neither campus nor intercampus review committees would be credible evaluators. Even systemwide administration cannot be expected to be an impartical evaluator. Though the consolidation of programs might not result in an overall loss in enrollments, the dislocations and battles that would be occasioned are certainly daunting to consider.

CSU is conducting a systemwide study of campus review procedures. Preliminary findings reported in the March 11, 1986 Board of Trustees Agenda suggested that program reviews have surprisingly little influence on campus decisions. The CPEC report summarizes, "Officials at a majority of the 19 campuses said that program review results were 'rarely' used in major curriculum revisions, resource allocations, enrollment planning, and program discontinuation" (CPEC, 1986a: 8).

CPEC has repeatedly recommended that each segment undertake systemwide reviews of programs in selected disciplines. "In a multi-campus institution," CPEC argues, "it is essential for many reasons to know the characteristics and relative strength of programs in the same discipline on various campuses" (CPEC, 1986a: 6). (Several of these have been conducted, but none in recent years: education, engineering, law and the performing arts among them.) A paper by former UC President David Saxon and Walter Milne is cited:

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> Comparative program review of the quality of existing academic areas and the significance of their contribution to the total university mission is a principal tool in the search for resources that might shift to more productive uses. We must shoulder that task and not shrink from it (quoted in CPEC, 1986a: 6).

These comments and the closing exhortation make clear the central issue about program reviews -- they are often political. This is not to say that they are not "objective," simply that reviewers and reviewees will approach the process knowing that there might be "political" (resource allocation) ramifications to the review.

The fact that systemwide administrators do not do more systemwide reviews despite CPEC's urging is not only because they involve so much work, but because they can pose a threat to established programs. A review can be a signal to the reviewees that, as Saxon and Milne put it, a "search for resources" is on. The fact that the CSU study committee found that review results were rarely used in resource allocation decisions, then, is not surprising.

The Master's Degree

CPEC, along with many other observers of higher education, has raised serious questions about the overall status of the master's degree. In liberal arts fields, the CPEC report on graduate education finds, "the degree has lost much of its value both as an acknowledgement of academic achievement and as a credential for employment" (CPEC, 1985: 73). A study committee report of an All-University Faculty Conference in 1971 is cited: "The MA and MS degrees have been so debased by their use as escape hatches from Ph.D. programs that they probably cannot be made useful once more for academic purposes" (Quoted in CPEC, 1985: 73).

There has been more than one call in the last ten years for an across-the-board review of the master's degree, but none has been organized. Again, this may be because it is asking too much of an institution to undertake, or take seriously, evaluation processes whose implications may be detrimental to its resource base and status.

The Commission is well aware of the extraordinary national attention currently being paid to the question of the meaning of the baccalaureate degree. Many argue that there is no less cause for concern about the meaning of the Master's degree, and that the time has come for California to take leadership on this issue by establishing a high level review commission on the meaning and purpose of the master's degree.

Policy Options

Option 1: Recommend that the Regents of the University of California and the Board of Trustees of the California State University establish a consistent policy for the conduct of campus graduate program reviews, a schedule for regular systemwide graduate program reviews, that they monitor actions taken as a consequence of reviews and that they publish and distribute, through channels readily available to prospective students, data for each of their graduate programs annually, to include, but not be limited to:

- ratio of applications to acceptance for last five years;
- sources of student aid for students currently enrolled;
- level of indebtedness of those completing degrees for last five years;
- proportion of students currently enrolled who are employed full time;
- frequency distribution for last five years of time to degree;
- placement experience of previous five years' graduates;
- ethnic and gender distribution of students in program.

This option creates a mechanism for achieving consistency in review procedures among campuses. It established systemwide reviews as a requirement, so that information to assist in planning will be available. It monitors the relationship between reviews and outcomes so that the need for the program review process itself can be continually evaluated, and it creates a mechanism for ensuring that prospective students have concrete indicators of the standing of programs and of some of the implications of their investment in a particular course of training.

Option 2: Recommend to an appropriate California foundation that a high level commission be constituted to review the meaning and purpose of the master's degree.

This option assumes that individual programs can only be evaluated in their current context, and that an evaluation of the context itself is overdue. It further assumes that vested interests in maintaining degree programs are so strong across the country that reviews initiated by the academic community, even by those not affiliated with California's public institutions, can have no productive outcome, and that it will require a highly visible and prestigious group with broad societal perspectives to be able to challenge tradition in as deep a way as this option proposes.

Issue 3C: **What public policy should the Commission recommend regarding a mechanism by which state research priorities could be established and promoted, and research issues could be reviewed when they arise?**

Background

Research will soon be a billion dollar business at the University of California.* The majority support for this enterprise is the federal government; it provides 56.5% of total funding for University research in 1986-87.** Its share has been declining, though, and is down from 67.4% in 1979-80.

The state also plays a substantial role, providing 22.8% of the total: its share has increased slightly, up from 18.4% in 1979-80. But state funding for research at the University as a percentage of total state General Funds for the University has remained stable (±10%) over the past decade (CPEC, 12/14/86: Display 3: p.8).

Private gifts, grants, and contracts have begun to play a stronger role in the support of University research -- these sources provided 9.5% of the total in 1979-80 and now provide 14.9%.*** Some of this increase is no doubt due to an increase in industry-sponsored research, but UC does not break it out, so we have no actual figures.

A good deal of controversy has centered around industry support of university research in the last few years. One issue has been the potential for conflict of interest, as professors form companies, and those companies then sometimes contract with the University to do research for them. Current university policy is that faculty can receive research money from companies in which they have a financial interest, but if they do, they must go through a campus conflict-of-interest review.

Another cause for concern has been the potential for distorting the University's research direction. But this envisions a scenario in which a faculty member would opt to contract with a company in lieu of pursuing his or her own research agenda under, say, a federal grant, and that industry-sponsored research will necessarily be of questionable scholarly merit. So far, the research offered by industry has not appeared to pose this sort of competition or question, but could in theory. Some say also that industry research agendas are no more threatening to academic integrity than the biases already introduced by the agendas of federal research agencies and private foundations.

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*If current rates of increase hold, expenditures will top $1 billion in 1990.

**This section draws heavily on CPEC's excellent report, "Issues Related to Funding of Research at the University of California," 12/14/86, Draft.

***This increase is substantial when viewed against state funding: in 1974-75 private sources contributed $4 for every $10 provided by the state; they now account for $7 for every $10.

Some have also worried that the commercial applications of this sort of research might be so lucrative for the University that it could become "independently wealthy" and thus outside state accountability. UC is actively pursuing patent licensing agreements, but income from the granting of licensing agreements has in fact not made substantial amounts of money for universities anywhere in the country, except in only a very few instances, notably the University of Wisconsin.

What some predicted would be a huge rush to this sort of research, especially in biotechology, has not so far materialized. Industry can usually operate its own laboratories as cheaply as it can contract with the University, and as trained people become available, finds hiring its own researchers a viable option.

Most of the money that comes into UC and CSU from federal, state, and private sources goes to what is called "organized research" -- research which is separately budgeted and accounted for. "Departmental research" is covered by the state's instructional budget; it is the time faculty have to pursue research because their class hours are fewer than at CSU. The Legislative Analyst calculates the cost of the latter at $171 million in 1986-87 (California Legislature, 1986-87: 1252), CPEC at $200 million (CPEC, 1986b: 9). When this is added to the State's $185 million in support for organized research, it brings the State's share of support for UC research to 40%.

State General Fund support for organized research at UC has traditionally been in the form of a block grant -- the money is allocated to the University for research and it decides how to use it. The better part of the block grant (79% in 1986-87) has always gone to support organized research units. The Agricultural Experiment Station generally receives more than half of these funds. About 18% (in 1986-87) of the block grant supports research activities that may not be formally conducted in ORUs -- research on AIDS, and biotechnology, for example. Three percent of the block grant went in 1986-87 to grants (of up to $1,000) to individual faculty for research and travel.

In recent years, the University has begun to request augmentations to the block grant appropriation for special research efforts. In the 1987-88 request, UC seeks funds beyond the block grant for research in toxic substances, the problems of aging, neural injury, robotics, astronomy, astrophysics, biotechnology, and others. In the 1960s, specific projects were consistently funded in addition to the block grant, but these appear to have been initiated by the Legislature. The Legislative Analyst proposed that they be incorporated into the block grant and they were. The number of these specific requests has increased and the Legislative Analyst has complained that:

> Determining the 'appropriate' level of funding for organized research presents problems that go far beyond those we encounter in budgeting for other programs such as instruction. In the Instruction program, for example, there are workload measures (enrollment) and standardized unit costs (faculty, teaching assistant, library) that can be used to determine the cost of a stated program level. In contrast, research is not easy to define in terms of either workload or service level.

> Consequently, it is difficult to determine analytically, using 'hard' data, whether the state is buying 'enough' research or the right kind of research (California Legislature, 1986-87: 1333).

CPEC was directed to prepare a report on the "trends, program issues and fiscal issues related to the growth of extramural-funded and state-funded research at UC" (California Legislature, 1986-87: 1333). In that report CPEC concurs with the Legislative Analyst that:

> The State lacks both analytical guidelines to determine which, if any, of these projects warrant additional funding. Nor is there any authoritative State-level body to advise the Governor and Legislature on State priorities for research (CPEC, 1986b: 9).

and concludes that:

> A method to determine a proper level for the State's contribution to the University's research effort is not apparent. Obviously, there are no empirical means for determining how much is enough, since there will always be more problems to solve than resources to investigate them. Currently, the University reports only what percentages of all State funds go to various recipients -- Organized Research Units, faculty research grants, designated projects, and the like -- rather than to various uses or topics. Thus the State has no way to judge how much support is sufficient. The difficulty is compounded when the University requests augmentations to its block grant for research on specific topics, each of them related to matters of obvious social or economic significance to the State (CPEC, 1986b: 10).

A serious lack of information is a large part of the problem, CPEC argues. The University does not maintain an inventory of research done on its campuses. This problem has been identified and discussed several times over the last dozen years. The CPEC study cites reports from the All-University Faculty Conference in 1974, for instance, whose topic was applied and public service research in the University:

> Our ability to gather even the most primitive data (at the University-wide level) about current UC research efforts is much too low... It is surprising how little we (both faculty and administration, much less the general public) know about our pattern of research involvement and performance (cited in CPEC, 1986b: 2).

In 1980, the Committee to Study Organized Research found "a failure to communicate adequately the scope and relevance of the research carried out by the University" and proposed the creation of a University Research Council that would describe the research function and maintain an inventory (cited in CPEC, 1986b: 2).

CPEC makes three recommendations: (1) that the University should develop a "record-keeping" system so that it will be able to describe the research effort; (2) that organized research should be funded entirely through the block grant mechanism and that the practice of requesting specific augmentation should be discontinued; and (3) that the state should establish a

"Council for Research and Technological Development" to identify research priorities, coordinate and advise on appropriate levels of State funding for research (CPEC, 1986b: 15-16).

The state is currently the only funder of research at UC that does not establish its own priorities for the kind of research it thinks is important. Foundations often spend substantial effort identifying problems they think are important to solve; federal agencies (and some state ones, too, of course) fund research in areas of interest to them; much federally-funded research is in the form of contracts which specify closely the questions to be answered and scope of work. The University currently operates as the state's funding agency -- it judges the merits of proposals from campuses and faculty -- and the state sets no priorities itself.* By introducing special augmentation funding, the University has effectively asked the state to do just that.

Some argue that the state ought to establish and fund an agenda of research issues of importance to California's economy and social well-being, research which might be done by UC, CSU, the private universities or research firms. Though this happens to some extent through the research that is funded by particular state agencies, there is no agency that concerns itself with issues of overall importance to the state and sets priorities among competing areas.

The CPEC proposal suggests that a "Council for Research and Technological Development" should consist of representatives from the academic community, business and industry and State government." It should be "charged with identifying priority areas for additional State-supported research and development, proposing adequate levels of funding for them, and assessing the results of this funding." The Council would also serve facilitative, coordinating and advisory, but not research funding, roles (CPEC, 1986b: 16).

Policy Option

Option 1: Recommend that the state adopt a CPEC recommendation that:

> The state should establish a Council for Research and Technological Development to identify state research and development priorities, coordinate efforts in these areas, and advise the Governor and Legislature on appropriate levels of state funding for research.

CPEC's explanation of this proposal is as follows:

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*No one suggests a radical rearrangement of this situation. All observers agree that the University should continue to spend block grant funds as it sees fit -- in fact most simply want it to do so consistently.

> Currently, the state has no formal or comprehensive mechanism for identifying the range of research projects and those that need additional investigation most urgently. Further, the Legislature and Governor have no single body of independent advisers with special expertise in the area of research and development. The University's own assessment of priorities in its augmentation requests, while useful, does not represent a comprehensive perspective from experts responsible to the state.
>
> The Commission proposes creation of a Council for Research and Technological Development to insure, among other things, such a perspective. It should consist of representatives from the academic community, business and industry, and State government, and should be charged with identifying priority areas for additional state-supported research and development, proposing adequate levels of funding for them, and assessing the results of this funding. This Council could also provide a means for developing partnership efforts between academic and business institutions, encouraging increased support for basic research from all sources, proposing state policies to enhance the climate for research, and advising the Governor and Legislature on other matters relating to research and technological development (CPEC, 1986b: 16).

Issue 3D: What public policy should the Commission recommend regarding (1) the recruitment of minority and women students to graduate study in fields in which they are underrepresented, and (2) measures to ensure that they persist and excel?

Background

It has been 18 years since the Third World Liberation strikes threw the Berkeley campus into ferment. In that period, urgency and a sense of accountability surrounded issues of minority participation in higher education. A lot of political water has gone under the bridge since then, and much of it has slowed the momentum of that era's good intentions. The concern is coming to prominence again, though the moral aura has faded from the issue, and an era of righteous indignation has given way to one of blunt realities.

The Commission has heard substantial evidence about California's dramatically changing demography and the fact that the universities play a critical role in the direction we will take. In a society which increasingly relies on knowledge, education is a major tool we have for the peaceful redistribution of resources.

Asians are doing very well in graduate education and their representation at all levels continue to increase. Hispanics have made some gains, but are still dramatically underrepresented; Blacks are also underrepresented and their participation in graduate degree programs has actually declined slightly.*

In the period 1978 to 1982, Asian and Hispanic students made small gains in their achievement of master's and doctoral degrees. Asians increased from 6.2% to 7.7% of master's degrees at UC and from 5.4% to 6.2% of master's degrees at CSU. Asians earned 4.1% of doctoral degrees in 1978, 6.4% in 1982.

Hispanics' share of master's degrees at UC rose from 2.7% to 4.3% and from 4.7% to 5.7% at CSU between 1978 and 1982. They constituted 1.9% of doctoral degree recipients in 1978, 2.9% in 1982.

But the percentage of Blacks earning degrees fell in every graduate category -- from 3.7% to 2.7% of master's degrees at UC, from 5.4% to 5.1% of master's degrees at CSU, and from 2.6% to 2.2% of doctorates.

Asian students are concentrated in engineering, computer science, mathematics and the sciences. Black students make up less than 2% of UC graduate students in math, biological sciences, physical sciences, and foreign languages, and just over 2% of those in "letters." Their highest representation is in public affairs (6.8%), education (6.2%), and architecture/urban planning (5.4%). Hispanics concentrate heavily in Spanish (18.4%), and to a lesser degee in education (8.3%), and public affairs (11.4%). Their participation increased between 1978 and 1982 at both CSU and UC in math, biological, physical and social sciences. They more than doubled their representation in computer science at CSU (to 3.1%) and almost doubled it at UC (to 2.9%). Their representation in engineering, however, declined slightly.

Issue Elaboration

The universities are currently operating a variety of programs designed to increase minority participation in graduate education and research.** (These programs apply to minority students and to women in math, engineering, and science; since this is a cumbersome phrase, we will refer in what follows simply to "minorities.")

The University of California operates:

- President's Fellowship Program. Thirty-five fellows work with faculty mentors and are supported for a year, possibly two; awards range from $22,000 to $28,000. Initiated in 1985-86, funding this year was $670,000.

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*These data are drawn from CPEC's excellent report on graduate education (CPEC, 1985). For more detail please refer to section four of that report.

**Only universitywide programs are described here. Campuses often individually decide to allocate funds to programs of their own design. Sometimes individual departments create their own initiatives.

- **Dissertation Fellowship Award Program.** Provides dissertation year support to promising students. Initiated in 1986. Sixteen awards. Stipend $12,000. Total budget this year was $200,000.

- **Research Assistantship/Mentorship Program.** Initiated in 1984. Provides half-time research assistantship under faculty guidance. Involves 150 students; funding this year was $500,000.

- **Outreach Program.** Concentrates on summer pregraduate program in math and the sciences. Initiated in 1982, expanded in 1986. Funded at $350,000 in 1986.

The California State University operates:

- Graduate Equity Fellowship Program. Initiated in 1985, operating on 13 campuses. Its main purpose is to interest underrepresented students in academic careers, but funds can go to professional master's students, too. Students typically work for a faculty member who has a research grant. Fellows have regular meetings. Stipends average $1500 each for 280 students. Allows students to increase their unit load. CSU is asking for $900,000 which would extend the program to 630 students and to all 19 campuses.

- Doctoral student loans. A new program which is still on the drawing board. CSU would sponsor its graduates for Ph.D. work at another university; loans would be forgiven if the student returns to teach at CSU.

We do not know yet how well these programs work; all of them are remarkably new. UC has commissioned a systemwide evaluation of the mentorship program which will be updated annually. President's Fellows will be tracked; follow-up will also be done on dissertation award recipients. The Legislative Analyst has complained, however, that two of UC's programs are conceptually flawed, arguing that the President's Fellowship Program and the Outreach Program redistribute students who have already made the decision to go to graduate school rather than increasing their numbers. The Legislative Analyst's position is that programs which make it both possible and attractive for students to pursue an academic career rather than another, such as the dissertation year awards, are in principle most effective.

One analysis of programs nationally suggests that mentoring programs, which are designed to increase retention and success can be extremely effective.* A program at UC Irvine is cited as exemplary:

> Several elements of the program appear to contribute to its success. The systematic structure built into the program ensures a match of research interests, a clear specification of program goals developed by each student-faculty pair, and a high level of interaction in the mentoring relationship. Students have financial support as research assistants which ensures early substantive involvement in research

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*Evidence cited in Issue Paper Number Five, "Retention," confirms this approach as productive.

> and the concomitant opportunity to sharpen writing and analytical skills. Faculty incentives to participate include additional support costs (Vaughn, 1984: 165-66).

This type of program seems especially promising because it aims at retention and success and thus enhances chances of good job offers and ultimately of a positive tenure review.* "Pipeline" analyses are very popular, and they are appropriate -- the problem cannot be resolved without an increase in BAs among underrepresented groups. But the pipeline doesn't automatically solve things either -- witness the case of women who constituted 50% of BAs for a very long time before they came to be represented at all on university faculties. Pipeline analyses can also be used to lay the responsibility "anywhere but here."

Many believe that the problem can be partially solved by strategies which treat the student once s/he is at the University. Precisely because the pipeline problem is so difficult to solve, they argue, each qualified graduate student who arrives at a University campus should be viewed as precious; we should aim for a retention rate substantially above that for majority students.

Programs such as the mentorship model described above are not simple to implement. Staff recruiters cannot be hired to do the job; a pot of money cannot simply be disbursed. Core faculty must be involved, they must be willing to truly engage the task, and programs must be carefully designed and based on good evaluation studies of previous efforts.

The faculty and the quality of its interaction with students makes a critical difference. Thus, some argue that efforts to improve the retention and success of underrepresented students will not improve markedly until responsibility for students' success is handed over squarely to the faculty. The mentorship programs do this to some degree with positive incentives, such as extra resources for the faculty member's research.

Another approach would be to take a "performance funding" approach (as described in Issue Paper No. 7) and make departments accountable for the retention and successful first hire (or next-level graduate school acceptance), of their underrepresented students. One of the positive features of this approach is that it can lead to innovation -- only the goal is prescribed, and the means to the goal are open to invention. Departments would be told that it is up to them to plan a strategy for ensuring the success (completion of degree and first hire) of their underrepresented students. Positive or negative sanctions might be applied -- slight ones such as the publications of each departments success/failure record, or, serious ones such as faculty funds, FTE, or space.

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*It should be noted, however, that not just any program of this type will gain equally sanguine results. The particular ways in which these programs are structured matter in critical ways; careful evaluation of these programs must be conducted to identify critical features of successful programs.

Such an approach would, first of all, make clear to the faculty that the university places highest priority on achieving results in this matter. It would challenge faculty to take responsibility for the problem and its solution and would make clear that the solution to this problem must be a collective one.

For such a system to work, the university would need to find creative solutions in two areas: program funding and qualifying and thesis/dissertation exams. (1) Departments would negotiate funds for their "experiment" from a campus-wide or systemwide pool. The level of funds would determine the degree of success the department would be willing to agree to try to meet. (2) For this approach to work, faculty and students need to be on the same side of the fence; the faculty need to be in a structural position of advocate for the student, ie. not the one simultaneously judging the student. An external examining committee could solve this problem.

Another area in which many feel that direct involvement of faculty is especially important is in solutions to the pipeline problem. California has a natural pipeline -- from BA and MA programs at CSU to doctoral programs at UC -- which has so far been little exploited. And there is a strong argument that "articulation" between the two systems would be most effectively made by faculty members in the departments concerned.

With the exception of one program at CSU, the Graduate Equity Fellowship program, none of the universities' ameliorative efforts are aimed at master's or professional degree students.* Even that program is Ph.D. oriented; it attaches students to faculty members doing research, hoping to get them involved in and excited about research.**

The universities are understandably most interested in programs which will affect the production of Ph.D.s. The spector of a large bulge of retirements and the need to replace a substantial proportion of the faculty at both UC and CSU has come to prominence in the last few years (see Issue 3A). This will give the universities an unprecedented opportunity to make a real impact on the ethnic and gender composition of the faculty, if sufficient Ph.D.s are available.

Important as this concern and efforts to respond to it are, it omits the universities' responsibility to help to bring underrepresented groups into a wide range of professions in which they can have an effect on the distribution of resources in California's economy and society. This applies particularly to professional degrees offered at UC, and professional master's degrees offered at both UC and CSU campuses.***

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*Many of he professional schools have programs of their own design, however.

**This is not to devalue the program, quite the contrary. This is the only program we know of that has the potential to take meaningful action on the "pipeline" problem and it is very modestly funded.

***In 1981-82 only 6.6% of medical students nationally and 4.4% of law students were Black. Latinos accounted for 1% of medical students and 1% of law students (LA Times, 8/11/86). In the period 1974 to 1984, MBA enrollments doubled, but minority enrollment in MBA programs peaked in 1980 at 8.5% and has declined steadily since (LA Times, 10/19/86).

Policy Options

Option 1: Recommend that the Legislature establish the production of graduate degrees among underrepresented groups as a priority for graduate education in the State of California and that funding for graduate education be tied directly to the universities' success in recruiting and retaining underrepresented minorities in graduate programs and placing them in jobs upon completion.

This option assumes that increasing the representation of women and minorities in jobs which require graduate training is a matter of the utmost urgency. It assumes that the task of increasing the enrollment of underrepresented groups in graduate programs and doing an effective job of training can only be accomplished by the universities themselves, but that new methods for holding the universities accountable to the state are in order.

Option 2: Recommend that the Regents of the University of California and the Board of Trustees of the California State University establish a method for making academic departments accountable for the retention and successful first hire (or graduate student admission in the case of master's degree programs) of underrepresented graduate students, and that the results be regularly published and widely distributed.

In this option, accountability is placed directly with the faculty members for graduate training. It assumes that the publication of outcome data will serve as an incentive.

Option 3: Recommend that the Regents of the University of California and the Board of Trustees of the California State University establish a method for articulating between CSU undergraduate and master's degree programs and UC doctoral and professional degree programs for purposes of recruiting underrepresented students to advanced study.

This option implements California's "natural pipeline" for recruiting underrepresented students to graduate training, establishing links between departments at CSU and UC campuses. Such explicit relationships would not only serve to identify potential advanced graduate students, but would provide the avenue for interesting them in further study, ensuring that their course of study at CSU will meet entrance requirements at UC, and easing transitions.

Option 4: Recommend that CPEC report annually to the Legislature on known successes in programs to recruit and retain underrepresented groups in Ph.D. programs, professional schools, professional master's degree programs, and "pipeline" master's degree programs, and initiate evaluation studies of those not now being tracked.

This option assumes that part of the problem is insufficient information about the efficacy of various programs. It also assumes that a public report by an external agency would create an incentive for the universities to make programs succeed. It further assumes that resources in this area are so precious that it is essential that ineffective programs be identified and discontinued promptly.

Issue 3E: What public policy should the Commission recommend regarding the enrollment of foreign students in graduate and professional degree programs.

Background

When the 1960 Master Plan was written, the number and percentage of foreign (nonresident) students enrolled in graduate and professional programs was negligible. In recent years, however, both the number and proportion of foreign students enrolled in graduate programs was increased markedly. The most recent report of the Institute of International Education indicates that California enrolled 47,586 foreign students at all levels of instruction in 1985-86, or nearly 14 percent of the total nationally. Nationally, nearly 39 percent of all foreign students were enrolled at the graduate level; if this percentage held true for California, there were approximately 18,560 foreign gradute students enrolled in this state. It is likely that at least half of these students were enrolled in engineering, computer and information sciences, and business management programs.

Nationally, in 1985-86, nearly 55 percent of the engineering doctorates, 29 percent of physical science doctorates, and 19 percent of life science doctorates were awarded to foreign students, according to the National Research Council. Foreign students make up one-fifth to one-quarter of the enrollment of several of the nation's leading universities. The majority of these students now come from Taiwan, Malasia, Korea, India, China, Nigeria, Japan, and Hong Kong. These students come to this country, it is said, to receive the technical education that is not available in their own countries, because they find life better here, and because in many parts of the world, it is now expected that the best students and those with the means will come here to study.

Nonresident enrollment, both domestic and foreign, accounts for only about 22 percent of UC's total enrollment in graudate instruction other than medicine, dentistry, and law. In several high-demand disciplines, however, foreign student enrollment is much higher. In electrical engineering, for example, over 40 percent of the University of California's doctorates went to foreign students. Similarly, over 40 percent of the master's awarded in three engineering programs by the California State University in recent years were awarded to foreign students. In computer science, roughly 40 percent of the master's degrees conferred went to foreign students. Other fields attracting a higher than average percentage of foreign students include economics, linguistics, and German at both the University and State University and French at the State University (although it should be noted that in fields in which few American students enroll, a relatively small number of foreign students can amount to a sizeable percentage) (CPEC, 1985a: 73).

Currently, the percentage of foreign students enrolled in graduate courses has generally stabilized, and has even decreased in some programs, largely as a consequence of the economic declines suffered by OPEC countries. The political and economic conditions in their home countries strongly influence the number of foreign students who come to the United States to study. For this reason, it is difficult to predict or plan for the demand of foreign students for admission from year to year. However, given the increase in foreign applicants and admissions in recent years, one can agree with the American Council on Education that "it is imperative that the governing bodies of these systems and institutions...address what they will do with respect to foreign students and develop appropriate policies and procedures." (ACE, 1982: 50)

Issue Elaboration

The heavy concentration of nonresident foreign students in a few fields has raised questions at both the state and national levels regarding the impact on the institutions and upon the enrollment of domestic students (CPEC, 1985a: 66). The Legislative Analyst has suggested that "California students are being denied admission to graduate engineering and computer science programs because of the large number of foreign students enrolled in those programs" (*Analysis*, 1986-87, p. 1324). Citing evidence that "qualified" California students were being displaced by "better qualified" foreign students, the Analyst recommended that UC reduce the number of foreign students admitted to its graduate engineering and computer science programs by enrolling more California residents.

The Legislature did not adopt this recommendation, apparently accepting UC's argument that a very high percentage of the foreign students remain in this country after completing their studies and the domestic enrollment and doctoral degree completion in disciplines such as engineering is small because domestic students are often siphoned off by industry for lucrative jobs after completion of the baccalaureate or master's degree. Many of these jobs, especially those in engineering, are defense related, and require permanent resident status or United States' citizenship. Foreign graduates are precluded from such employment because of their nonresident status. Thus they continue through the doctoral degree, hoping they will be able to achieve an academic position and thereby assure themselves resident status. It is estimated that one-half to three-fourths of foreign students stay in the United States after completion of their study (CPEC, 1985a: 27).

Some who are concerned about the large numbers of foreign students in the public universities also suggest that such students may be used as "filler" for low-demand disciplines to permit the retention of faculty who would otherwise not be needed. Others argue that high percentages of foreign graduate students at the University of California mean that there are high percentages of foreign students serving as teaching assistants for undergraduates and that many such TA's lack the English language and teaching skills undergraduates have a right to expect.

Finally, there is a concern that foreign students enrolled in public universities represent an excessive burden on state taxpayers because the tuition they pay is substantially less than the cost of their instruction. According to UC, however, total average charges for nonresident graduate students in programs other than medicine, dentistry, and law ($5,455) are very close to their average marginal costs per student. CSU's nonresident charges of $3,780 for graduate and undergraduate students alike may also be close to the marginal costs per student. With respect to the average or full cost of their instruction (which is at least twice the marginal cost), however, it is clear that foreign and other nonresident students receive a substantial subsidy.

Policy Options

Option 1: Recommend that full cost tuition be charged to foreign students.

Increasing nonresident tuition to the full cost of instruction for foreign students would eliminate the subsidy by California taxpayers and almost certainly reduce the number of such students at the public institutions if the increase were not offset by increases in financial aid. However, existing law regarding residency does not distinguish between nonresidents who are foreign nationals and those who are residents of other states and so would have to be changed accordingly.

Option 2: Recommend that programs be expanded to encourage even greater foreign student participation.

If the Commission believes that the benefits derived by the state in providing graduate training to foreign students outweighs the costs of doing so, it may wish to encourage UC and CSU to seek to increase their enrollment of foreign students. This might be accomplished by expanding high demand programs, increasing graduate fellowships, and other traditional methods.

Option 3: Recommend that the current policies for admitting foreign students to graduate and professional programs be continued.

If the Commission believes that foreign students are not displacing equally qualified California residents and are not an excessive burden for taxpayers, it may decide that no change should be made in current admissions and fee policies.

ATTACHMENT A
GRADUATE EDUCATION AND RESEARCH

Option 2: Intersegmental Degree Programs Boards

Recommend that there be created under the California Education Round Table (CERT) an "Intersegmental Degree Programs Board," which would coordinate all intersegmental degree programs.

The Intersegmental Degree Programs Board would be composed of appointees representing the University of California, the California State University, and the California Community Colleges, as well as representatives from the independent colleges and the State Superintendent of Public Instruction. The funding for the Intersegmental Degree Programs Board would be through the California State University budget, and staffing would be under the direction of the Intersegmental Degree Programs Board.

The Intersegmental Degree Programs Board would examine the issue of access to and need for intersegmental degree programs, as one of its tasks. Such intersegmental degree programs as the Intersegmental Degree Programs Board recommends would be subject to the normal review processes of the segments as well as those of the California Postsecondary Education Commission. The development of policies and procedures for such intersegmental degrees, a regular review of and reporting on such programs, and a process for airing differences would be the responsibility of the CERT.

The Intersegmental Degree Programs Board would be charged with the responsibility to find ways to use all of the state's postsecondary education resources in meeting determined needs and eliminating obstacles to a more expansive use of intersegmental degrees.

The effectiveness of the Intersegmental Degree Programs Board and the intersegmental degree in meeting students access to and need for doctoral education would be subject to review in five years by the California Postsecondary Education Commission.

Option 2a: All of Option 2, plus the following.

In order to expand the options from which the Intersegmental Programs Board might make its recommendations, the Donahoe Act would be amended as follows:

> 66500. The University of California...has the sole authority in public higher education to award the doctoral degree in all fields of learning. ~~except that~~ In selected fields it may (a) authorize the California State University to award the doctoral degree, or (b) agree with the California State University to award joint doctoral degrees.
>
> 66608. The California State University... The doctoral degree may be awarded as authorized by the University of California or jointly with the University of California, as provided in Section 66500, or jointly with a private institution of postsecondary education accredited by the Western Association of Schools and Colleges and provided the proposed doctoral program is approved by the California Postsecondary Education Commission.

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ISSUE PAPER NO. 4*

COORDINATING CALIFORNIA'S SYSTEMS OF HIGHER AND LOWER EDUCATION: TEACHER PREPARATION; THE RELATIONSHIP BETWEEN HIGHER EDUCATION ADMISSION STANDARDS AND THE HIGH SCHOOL CURRICULUM; UNIVERSITY RESEARCH ON EDUCATION; AND MECHANISMS FOR COORDINATION

Introduction

A wall abruptly bifurcates higher and lower education in California -- to the serious detriment of both sectors. Mounting evidence over the past quarter century attests to the need for forging closer links between the two. The process of revising the Master Plan for Higher Education affords fresh opportunities to reexamine the sensitive topic of coordination across California's sprawling education enterprise.

Inadequate coordination is a result of many factors. In part the problem can be traced to California's colleges and universities, for on several significant dimensions they have defaulted on their professional obligation to collaborate with, and to provide leadership for, public education. By working more systematically with leaders in the public schools, higher education's leaders could more effectively serve the needs of California's citizenry at all levels of education. Toward that end, four complex policy areas will be considered in this Issue Paper:

(1) Teacher preparation: Schools of education and teacher training are low-status stepchildren on higher education campuses, and they frequently have been starved of vital resources and permitted to drift aimlessly. To the extent that teacher training is less than it should and can be, education at all levels is compromised.

(2) Admission policies: Higher education officials have sometimes taken unilateral actions in such vital areas as college and university admission standards without sufficient regard for their far-reaching effects on California's public schools.

(3) Educational research: Research on education is too often impractical, and the bridge between the education research mission of the University of California and the teacher training mission of the California State University is weak or nonexistent.

(4) Statewide education coordination: The time may well have arrived when California can no longer afford to leave its massive education endeavors so loosely coupled; new organizational responses may be necessary.

In sum, while vision and effective leadership undoubtedly can solve many of these problems, the stark reality is that basic structural reforms may also be necessary.

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Issue 1: What public policy should the Commission recommend regarding schools of education and teacher preparation?

Background

California's education system is now entering a crucial period. While the state struggles to build a cohesive society and a competitive economy, education is challenged to accommodate a degree of enrollment growth and student diversity unprecedented in the last quarter century. After two decades of decline, the kindergarten through 12th grade population is growing at a rate of 2.5 percent annually, and California will average an additional 100,000 new students each year for the next decade. This growth will necessitate employment of approximately 85,000 additional teachers in the next five years and 183,000 over the next ten years. The magnitude of the sharply rising demand for new teachers can be judged by this fact: California currently employs approximately 180,000 teachers. The next decade represents a formidable challenge -- and an unusual opportunity - to replenish and revitalize California's teacher work force.

Despite the awesome numbers of new teachers to be hired, the likelihood is great that there will always be an instructor at the front of each California classroom. Problems of teacher quantity almost always resolve themselves into problems of teacher quality. The major issue will not be whether California's supply of teachers will expand to meet intensified demand. Rather, the concern is for the qualifications and abilities of the individuals who must, and will, be recruited.

Issue Elaboration

What can be said currently of the quality of California's classroom teachers? On the one hand, the state gives the impression of holding high entry-level standards for teaching and for granting of teacher certificates. California indisputably was a leader in eliminating education as an undergraduate major and in requiring that teachers hold a bachelor's degree in a subject-matter field, that they possess a fifth year of professional preparation, that they engage in practice teaching, and that they successfully pass a standardized test of basic skills. Moreover, the California State University, producer of over two-thirds of California's classroom teachers, has recently raised standards in a number of ways both for admission to, and completion of, its teacher preparation programs. These have all been substantial accomplishments.

In reality, however, California maintains a duplicitous dual system that undermines the quality of education that California's school children receive. About a quarter of all newly employed teachers in the state possess only a so-called "emergency credential." This status signifies that they do not meet statutorily specified qualifications. When the number of teachers instructing outside the subject-matter major in which they were trained is included, the proportion of inadequately qualified teachers rises to approximately 40 percent. Nowhere is this condition more evident than in the hiring of teachers for bilingual classes. Indeed, data from the California Commission on Teacher Credentialing (CTC) show that 21.6 percent of new teachers entering the profession received emergency credentials in 1984-85, almost four-times the 5.8 percent rate for 1981-82. And, while the state began to require that prospective teachers pass the California Basic Educational Skills Test (CBEST), effective 1982-83, some critics of the test argue that passage is marginally related, if at all, to classroom performance and that, in any event, its standards are not sufficiently rigorous to assure competent teachers.

A wide range of additional problems associated with teaching and teacher training in California bear directly on the state's ability to recruit well qualified individuals into the teaching profession. The solution to many of these difficulties rests with the society at large or with general government. Low compensation makes it difficult to attract able persons who have other career options. Average salaries for California's teachers, even while rising markedly in the last three years, have not yet regained the purchasing power they represented in 1970. (Moreover, at this writing, the outlook for improved salaries for 1987-88 is hardly reassuring.)

Nevertheless, there are three dimensions on which added vision and effective leadership on the part of the state's college and univeristy officials, in conjunction with leaders from the public schools, could assist substantially in expanding the effectiveness of California's teachers. Two of these areas, enhancing the status of schools of education and raising standards for teacher certification, are discussed below (as Issues 1A and 1B, respectively). A third area, university-conducted research on education, is examined as a part of Issue 3.

Issue 1A: What should the Commission recommend in order to enhance the status and, ultimately, the effectiveness, of schools of education?

The low status of schools of education and, especially, of teacher training programs undermines the preparation of teachers in subtle but nonetheless harmful ways. Ambivalence regarding the field of education pervades higher education settings, for education schools and teacher training are held in unusually low regard on most college and university campuses. The prestige structure of higher education is arrayed by subject fields with letters and sciences ensconced in the upper echelons and preparation in semi-professions of social welfare, nursing, and education occupying the bottom-most positions. The academic incentive system and distribution of rewards, as noted below, is oriented heavily toward the scholarly models and research paradigms of the sciences, humanities, and social sciences.

Education clearly does not enjoy the historic prestige or high societal status that enables such professions as medicine, law, engineering, and architecture to pursue practice-related research while disregarding the disdain of pure scholars on their campuses. The unpleasant result is that many education schools sometimes act as institutions ashamed of themselves. Regretably, the lowest status activity of all is teacher training. Even within many education schools, senior faculty attempt to distance themselves from the training of teachers. They concentrate whenever possible on the pursuit of research patterned after letters and sciences departments. Sad but true, teacher training is often abandoned to the least senior and lowest status faculty members.

The status deprivation* and second-class citizenship of education schools render them higher education's dirty little secret. During periods of high enrollment they often have been a vital source of revenue for their home institutions. Nevertheless, they are generally held in debilitatingly low regard on their own campuses, in particular by faculty colleagues. Until such a time as our great universities and colleges are judged as highly by the quality of the teacher they prepare as by the number of major scientific discoveries for which they are responsible and the number of prestigious prizes, fellowships and academy memberships garnered by their letters and sciences faculty, the state will not easily solve its education problems, nor will society benefit from a more productive return on its investment in human capital. Because the problem is systemic, no fully adequate "solution" is likely. Some strategies might, however, whittle away at the problem.

One plausible strategy would seek to capitalize on the influence of governing boards of institutions that train teachers -- especially the UC Regents and CSU Trustees, but also the governing boards of independent institutions engaged in teacher training. There is a compelling need for the governing boards to move schools of education and teacher training programs higher up on the ladder of priorities. Governing boards share in the responsibility for the welfare of public schools. It is a crucially important responsibility -- indeed, more important than one would surmise from a record of general indifference toward these matters. In a word, it is imperative that governing boards appreciate better -- arguably better than they now do -- the pivotal role that schools of education and teacher training programs play in California education and the extent to which the future of the State is bound up with the effectiveness of those programs. Thus, sound public policy would seem to require that governing boards assume a greater interest in this sphere of activity and, accordingly, exert even greater efforts on behalf of obtaining adequate resources for schools of education and programs that prepare California's teachers (see Option 2).

Another strategy that might help to overcome the low status and habitual institutional disregard for education schools and teacher training is to formulate a set of indicators which would systematically assess the performance of teacher training institutions and education research centers and to report these results publicly. This approach might rely in part on the development of ratings by "consumers" -- that is, for these purposes, school districts -- of the quality of teachers and research findings they receive from various schools of education. An effort to establish competition among campuses to have a highly rated teacher training program and research record could help forge much stronger links between college-level schools of education and the school-based teaching-learning processes which they are designed to benefit. Such competition, too, might assist in overcoming status deprivation, at least among the more effective programs. Various mechanisms can be imagined to coordinate such an effort (see Option 3).

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*A term first applied to education schools by Bernard R. Gifford.

Policy Options

Option 1: Make no specific recommendation regarding the status of schools of education.

The Commission may conclude that the issues are adequately understood by the governing boards and that the Commission's espousing the principle of according a higher priority to schools of education would not by itself accomplish anything of importance.

Option 2: Recommend to the governing boards of institutions of higher education that they convey their sense to their respective institutions that schools of education and teacher preparation programs are critically important to the well-being of the state and that a higher priority ought to be accorded them.

The Commission may conclude that the Regents of the University of California, the Trustees of the California State University, and the governing boards of other institutions engaged in teacher preparation would serve a useful purpose by underscoring to the administrations and faculties of their respective institutions that a pivotal relationship exists between adequately-supported education programs and the future of the state's public school system. If governing boards and campuses do not respond adequately, the attainment of this objective might require a strong Legislative endorsement -- perhaps via a concurrent resolution -- urging cognizant governing boards to accord education programs a higher priority.

Option 3: Recommend that the State Board of Education and the California Postsecondary Education Commission cooperate in establishing a system of "consumer ratings" to provide incentives for improving the effectiveness of teacher preparation programs.

The Commission would advocate that the State Board of Education and the California Postsecondary Education Commission cooperate in devising and conducting an annual poll among local school districts regarding their experiences and satisfaction with newly employed teachers graduating from the University of California, the California State University, and independent programs. A similar set of inquiries could be made regarding the research found to be of most use in addressing school district problems. The results of such a poll could then be widely distributed and public awards provided to those institutions receiving high ratings on the teacher training and research dimensions. (Note: this activity might fall within the purview of a coordinating council such as proposed under Issue 4 in Options 2 and 3.)

Issue 1B: What public policy should the Commission recommend with regard to standards for teacher certification?

California has a policy of professional teacher licensing or certification which often masks the ineffectiveness both of institutions and individuals. This is a so-called "program approval" approach. The California Commission on Teacher Credentialing issues regulations prescribing a set of courses which if successfully completed by a teacher in training will result in a state certificate. Seldom does the state rely solely on institutional accreditation processes for licensing in important areas such as law, medicine, engineering, architecture, or accounting. These professions depend much more heavily upon appraisals of individual candidates, not simply on institutional approval. Completion of a teacher training course does not by itself ensure that an individual is appropriately prepared. Moreover, critics insist that to persist in permitting schools of education to be accredited by revolving teams of visiting faculty, often drawn from a reciprocally back-scratching network, is tantamount to putting self-serving faculty foxes in charge of the teacher training hen house. (The accreditation process for teacher training is not, in any event, markedly dissimilar from the specialized accreditation process that exists for other professional fields.)

A process of individual appraisal might provide not only a more nearly complete profile of the prospective teacher, and thus assist the state, but also it could offer an evaluation feedback loop for institutions beyond the minimal information which is afforded by reporting the proportions of test-takers who pass the CBEST exam. Teacher training programs which consistently succeed in gaining passage of high proportions of their graduates on a more rigorous examination would earn better reputations. Conversely, repeated rates of low passage might result in diminished student applications and pressures for ineffective institutions to improve. Prospective teachers, if provided sufficient information regarding an institution's record or reputation, might shift to those programs wherein their likelihood of eventual licensing was higher and shun those with poor records. Establishing such a market mechanism, while surely tending to perpetuate stratification among institutions, might result as well in a self-correcting effect in teacher training programs.

An indiviual appraisal licensing process, going beyond CBEST and the National Teacher Examination, might also assist in influencing higher education institutions in reforming their undergraudate requirements. The current patchwork leading to a bachelor's degree at the University of California and California State University does not always constitute a useful foundation from which to build in preparing an effective public school teacher.

Abolishing the current "program approval" approach and moving to individual assessments might not only ensure more careful scrutiny of prospective teachers but also facilitate productive competition among training institutions to prepare teachers to meet new, and hopefully higher, standards. Such an approach might be along the lines advocated recently by the nationally prestigious Task Force on Teaching as a Profession (of the Carnegie Forum on Education and the Economy). More directly relevant, though, for California's purposes is the report issued in November 1985 by the California Commission on the Teaching Profession. Entitled Who Will Teach Our Children? A Strategy for Improving California's Schools (and known more familiarly as "the Commons Report," for the Commission's chair, Dorman Commons), the report examines the quality of teacher training in California. Among its many thoughtful recommendations, the Commission proposed the abolition of the current system of granting teaching credentials on the basis of completing a required set of courses. Instead, the Commission advocates a "thorough testing of individual candidates, as is the practice in other professions." The current basic skills test (CBEST) would give way to this more rigorous approach (see Option 1).

A caveat is in order here. A crucial assumption in any such strategy is that officials empowered to administer the individual appraisal system would inject substantially higher and more relevant standards into the assessment process and thereby elevate teaching as a profession. If the new standards are inadequate in this regard, then no useful purpose will have been served in altering teacher licensing procedures. However, the thrust of both the Commons and the Carnegie reports makes clear that higher standards are central to their respective proposals.

Policy Options

Option 1: Make no specific recommendation regarding the credentialing of teachers.

The Commission may conclude that wisdom dictates not formulating a recommendation regarding teacher credentialing. For one thing, the issues are highly specialized and complex, and recommendations may best be left to bodies that have studied the issues in greater detail. In fact, the California Commission on the Teaching Profession has done just that and has issued its own bold recommendations; perhaps it would be better to cede the issue to them.

Option 2: Recommend establishment of a new individual-based approach for credentialing teachers

The Commission would advocate statutory enactment and implementation of an "Individual Appraisal" system for credentialing teachers. Modeled in part after examinations for physicians, lawyers, or accountants, such an approach might (A) substantially adopt the recommendations of the California Commission on the Teaching Profession (The Commons Commission) to revamp the method by which persons become qualified to teach in California's public schools, or (B) rely on the development of a national certification examination for teachers, as advocated by the Carnegie Task Force on Teachning as a Profession. Or, the Commission might choose to endorse the principle of an individual-based approach for credentialing teachers and leave open which of the two major paths might best suit California's needs.

Issue 2: What public policy should the Commission recommend in regard to higher education admission policies and secondary education practices?

Background

California's institutions of higher education -- particularly the University of California and the California State University -- profoundly influence the shape of secondary school curricula and, thus, albeit to a much lesser degree, the course content of middle and even elementary schools. However, the mechanisms for effective dialogue between those who impose college entrance requirements and those who must adapt to them are deficient.

One may argue that the actions taken in recent years by UC and CSU to change entrance requirements may have the desirable long term effect of restoring more rigor to secondary school curricula. Time will tell. But these actions, however meritorious they may prove to be, reveal an important vulnerability in California education: neither the University of California nor the California State University system is sufficiently sensitive regarding the effects of its actions upon the operation of secondary schools.

External forces shaping secondary school curricula. A national study published in 1986 (Institute for Educational Leadership, 1986) maintains that school boards are responsible for curricular changes; school board members reported that impetus for change came primarily from local, not state, sources. Other studies have linked local curricular changes with nonschool-related phenomena such as California's Proposition 13 which played a significant role in course reductions. Other studies point to legislative initiatives as instruments of high school curricular changes. The minimum competency testing program in California, for example, has been found to have been a catalyst for change.

Regardless of the difficulty in establishing a precise cause-and-effect relationship between state-level actions and high school curricular changes, it is clear that external forces play a significant role in determining the typical high school curriculum.

1. Substantial infusions of state dollars over the last three years have enabled districts to restore major portions of the curriculum which were eliminated during the immediate post-Proposition 13 era.

2. Senate Bill 813 (1983) increased California's high school graduation requirements to three years of English, two years of mathematics, two years of science, three years of social studies, and one year of foreign language or fine arts, as well as continuing two years of physical education.

3. The State Board of Education adopted model high school graduation standards which challenged local school districts to require more of their students.

4. Assembly Concurrent Resolution 14 (1983) urged the State Board of Education to require each school district governing board to compare

its existing graduation requirements and curriculum standards with the model standards developed by the State Board of Education.

5. Senate Bill 1213 (1986) added a semester of economics to high school graduation requirements already established by SB 813.

6. The Academic Senates of the three segments of public higher education jointly adopted and have widely disseminated their *Statement of Competencies in English and Mathematics Expected of Entering Freshmen*. The statement is intended to assist students in preparing for college, their parents and counselors in advising and course selection, and high school teachers and administrators in planning the curriculum.

7. The University of California has acted to raise its entrance requirements, long viewed as a primary determinant of the high school curriculum. (Because the required course sequence has six components, labeled a-f, pertinent high school courses are commonly referred to as a-f courses.)

8. The California State University Board of Trustees has recently adopted a comprehensive pattern of college preparatory subjects as an element of CSU's more rigorous admission requirements. These new requirements, which are virtually the same as UC's, will become effective in the fall of 1988 (see Appendix, Figure 3).

Recent changes in secondary school curriculum and enrollments. The activities described above have created pressures on school districts to implement changes in high school courses aimed at meeting state curricular standards. The most recent year for which data are available reveals encouraging growth in academic courses, suggesting that districts are still striving to meet more rigorous standards. Thus, the 1986-87 PACE report, *Conditions of Education in California* (Guthrie, Kirst, *et al*., 1986, pp.109-113), shows significant increases in the numbers of class sections in social studies, music, English, art, foreign language, mathematics, and science in the period 1982-83 to 1984-85 (see Figures 1 and 2 in the Appendix).

Although these increases are heartening, and the trends appear to be moving in the right direction, Blacks and Hispanics are still underrepresented among enrollees in the rigorous academic courses necessary for admission to the public four-year colleges and universities. For example, the 1983 California Postsecondary Education Commission high school eligibility study found that only 10 percent of Blacks and 15 percent of Hispanics were eligible to enter the California State University directly out of high school, compared to 33 percent of whites and 49 percent of Asians. This is an important area for increased attention.

Favorable growth in classes offered and course enrollments is a positive indicator that schools are moving to meet increased expectations. However, these growth rates reveal little regarding the quality of the courses offered or the effect on dropout rates. It is too early to make definitive judgements about these issues. They do suggest areas for additional research and should be placed high on the research agenda of the University of California and the California State University. These changes also offer a cogent example of the pervasive influence of higher education on the high schools. A recent PACE report on teacher supply and demand in California's public schools reported major shortages in several subject areas including math, English, and science (Cagampang et al., 1986). Requiring additional advanced courses in mathematics and science, however desirable, may exacerbate an already pressing human resource problem.

Finally, Figure 3 (see Appendix) displays the degree of similarity between the State Board of Education's model requirements for graduation, the University of California's admission requirements, and courses required for admission to the California State University. High school principals determine which of the courses offered in their schools are college preparatory in nature and eligible to fulfill the new California State University requirements, the University of California a-f requirements. The actual content of a given course -- in English, mathematics, or whatever -- does not become known to the postsecondary institutions; thus, course comparability, from one secondary school setting to another, is largely unknown.

An overview of curriculum changes. As one examines California high school curriculum changes over the past several years, several patterns emerge:

1. Public school curricula are heavily influenced by a variety of external sources.

2. The admission policies of the four-year institutions of higher education are a major determinant of high school curricular patterns.

3. The cumulative effect of the policies of the four-year institutions, actions of the State Board of Education and the Superintendent of Public Instruction, and legislative and local initiatives have led to the adoption of a more academically rigorous curriculum both in terms of the number of courses that high schools offer and in the number of enrollments in them.

4. After the California State University course requirements are fully phased in (1988), there will be very little difference in the courses required for admission to either of the public four-year segments.

5. These changes took place absent a coherent, overarching statewide set of policies, in some cases with insufficient regard for the impact of these changes on high schools and their capacity to respond.

Issue Elaboration

The matter of admission requirements may be too important to be left in the hands of the higher education segments alone. To continue to permit them to make decisions unilaterally which greatly affect all of education may constitute poor public policy. Higher education admission requirements shape the high school curriculum; indeed, curricular changes have a tremendous impact on the entire public school system and create side effects that materially shape schools. Because the state bears a major responsibility to ensure that transition between secondary and postsecondary institutions flows in an efficient manner, a range of responses should be considered.

Whatever strategy might ultimately be selected, it is critical that the interests of students themselves be regarded as paramount.

One response to current methods for setting postsecondary admission policies would be for the Commission to advocate retention of segmental autonomy in establishing admission requirements, that is, the status quo might be deemed to be essentially adequate. This approach might lead to the Commission taking no action (see Option 1). Or, as a variant of the hands-off approach, the Commission might endorse current collaborative efforts and urge continuing cooperation through the publication jointly (by UC and CSU) of the expectations about entrance qualifications (see Option 2).

Even though the prevailing degree of coordination is encouraging, there is no guarantee that cooperative relationships will continue. One strategy would be to formalize the current *ad hoc* structures and, thereby, to regularize communications across segments (see Option 3). Another would be to involve the State Board of Education more directly in any proposed change in segmental admission requirements (see Option 4). The most extreme response would be to centralize responsibility for setting admission requirements for public postsecondary institutions in an agency that would exist separately from the segments (see Option 5).

Policy Options

Option 1: *Make no recommendation regarding the process by which admission requirements are established by and for the California State University and the University of California.*

The Commission may choose to take no action, in effect recommending that full segmental autonomy be retained in the sphere of setting admission requirements. This would continue the current policy of *ad hoc* informal cooperation among higher education's segments. The segments have shown a greater proclivity to work cooperatively among themselves and with the public schools in recent years. Although there is no all-encompassing state policy on admission requirements, current arrangements have generated remarkably similar entrance requirements for the four-year segments. Higher education, the Superintendent of Public Instruction, and the State Board of Education all appear closely aligned in what they advocate as appropriate high school curricula. Thus, the Commission may conclude that external pressure, or mandated cooperation, will not be effective in improving coordination among the segments and may, instead, have the primary effect of intensifying bureaucratic burdens.

Option 2: *Recommend to the Trustees of the California State University and the Regents of the University of California that they expand their cooperative efforts in publicizing jointly their expectations about admission requirements.*

The Commission may choose to applaud recent collaborative activities by the California State University and the University of California to publicize their expectations regarding admission requirements and to urge further cooperation between them. This approach would recognize the improvements in cooperation between the segments and essentially would split the difference between refraining from action (Option 1) and seeking Legislative involvement (Options 4 and 5).

Option 3: Recommend formal consultation among segments in establishing admission requirements.

The Commission could recommend that a formal consultation process be required to promote closer coordination among segments prior to modifying admission requirements. A graduation of coordination strategies, each involving formal intersegmental consultation, could be very useful prior to imposing any new admission requirements by the University of California, the California State University, or the California Community Colleges. That process could take a number of forms, from least to most formal:

(A) Requiring notification of other education boards prior to discussing alternatives.

(B) Requiring that proposers of changes (the University of California, the California State University, or the California Community Colleges) make presentations on proposed changes to other pertinent boards.

(C) Requiring joint meetings among board members who represent the respective segments to consider proposed changes.

(D) Mandating formalization of the Round Table on Educational Opportunity (or some other mechanism) and assigning it specific consultation and reporting responsibilities.

This consultative activity might well be facilitated by the California Postsecondary Education Commission, or the process might fall within the purview of a coordinating council such as proposed in Options 2 and 3 under Issue 4.

Option 4: Recommend inclusion of the State Board of Education in the process leading to changes in segmental admission requirements.

A variation on Option 3, the Commission could advocate statutory authority to require that the State Board of Education approve significant changes in admission requirements proposed by any of the segments.

Option 5: Recommend centralizing admission requirement decisions in a nonsegmental body.

The Commission might choose to recommend to the Legislature that it establish a new agency with responsibility for establishing admission requirements for all three public postsecondary segments. This would involve advocating statutory establishment of a new neutral agency, such as the California Postsecondary Education Commission (with expanded responsibilities, to approve any change in admission requirements prior to its implementation. The agency -- perhaps called a Postsecondary Admission Council -- might include representatives from the three public postsecondary segments plus the State Board of Education and perhaps one or two representatives of the public appointed by the Governor.

Issue 3: What public policy should the Commission recommend in regard to research on education conducted in the state's universities?

Background

There is a costly disjuncture between education research and practice. California's public schools face a torrential stream of practical problems for which there currently are few adequate solutions. The questions -- vital questions -- are endless. What are the most effective means for enabling a student to overcome the difficulties of recent immigration, a broken or distressed home, or not knowing English? How should teachers best be trained? How can dropouts be induced to return to school? How can they be kept in school in the first place? Are there more effective means for deploying instructional services and disseminating knowledge? How do new instructional technlogies best fit in? And how can progress be made along all these fronts -- and many more -- in a cost-effective fashion?

Research on topics such as these is seldom undertaken in colleges and universities in a manner which will lead to productive answers and practical solutions. To be sure, there are faculty at the University of California, the California State University, and the independent institutions who are conducting research on many significant educational and school issues. The Community Colleges, too, undertake many useful studies on access and retention. However, few of the major educational problems are addressed in a sustained manner by a critical mass of researchers with sufficient resources.

There are at least three factors contributing to this unhappy condition. One, a dysfunctional incentive system induces faculty researchers to address more abstract topics that offer the likelier outcome of faculty promotion; much research about education simply does not readily translate into more effective teaching. Two, in California the differentiated missions between the UC and CSU systems operate to devalue research in the segment -- CSU -- that trains fully two-thirds of the state's teachers. Three, school practitioners have little say in formulating the education research agenda. Consider these three factors in turn.

Disincentives for practical research. It is absurd, but commonplace, that an education faculty member who attempts to engage in scholarly activities and systematic research intended directly to enhance the practice of schooling or the preparation of teachers may do so at substantial risk to his or her employment security and academic advancement. The internal dynamics of academic salary rewards and professional promotions suggest strongly that education faculty members act like chameleons, adopting the coloration of those scholarly endeavors currently in vogue on campus. Most likely this means modeling academic activities and adopting the theoretical perspectives of campus colleagues in fields such as history, economics, and the social sciences. It is no great exaggeration to assert that to the extent a professor addresses a practical education problem, he or she is in academic jeopardy. Consequently, research activities in schools of education may have contributed more to our knowledge of social science than to the actual improvement of teaching and learning.

Devalued research in the principal training system. The University of California is chartered as a research university and possesses a proud tradition in this regard. The University, however, prepares only a small proportion (6%) of the state's public school teachers. The California State University system, on the other hand, prepares thousands of the state's teachers (68%) but does not include research among its major missions. The result is ironic. Those primarily responsible for the preparation of teachers generally have neither the time, resources, nor incentives to stay abreast of new developments in their respective professional specialities nor to convey these developments to the practitioners they prepare for California's schools. A California State University education faculty member, despite escalating pressures to publish, may well be responsible for instructing three or four classes a semester; the time available to sustain currency in significant research, accordingly, is severely limited. Conversely, as previously mentioned, University of California incentives for faculty to convey research to practitioners is extremely limited, maybe even nonexistent.

School practitioners: A missing voice. The status dynamics of higher education, as previously described, impede productive interaction between professors and education practitioners. Probably no other professional field is characterized by the degree of estrangement that exists between professional school faculty and practicing professionals. As a consequence, faculty researchers are frequently ill-informed regarding the most pressing practical problems. Research resources are determined by the idiosyncratic interests of individual faculty members or philanthropic agencies. The opportunity for concentrating a critical mass of resources and talent upon a pressing practical problem is slender. Practicing educators believe themselves isolated from the state's great research universities and as a consequence often regard these institutions with disdain.

As a consequence of these varying emphases, there is a destructive disjuncture -- if not a near void -- in the translation of education research findings into teacher preparation. The problem devolves to this: the present allocation of postsecondary missions and resources impedes a productive linkage between those who conduct research and those in a position to operationalize research findings. Bold responses may be necessary to correct the existing serious imbalance. This might take the form of more active oversight by the UC Regents and CSU Trustees with the objectives of making education research more relevant to the public schools (see Option 2). Or the most effective approach might envision an expanded role for CSU in its education research activities (see Option 3). Such an approach might proceed with or without legislative authorization for CSU to offer a doctorate in education. (The differentiated research roles of CSU and the UC are examined in detail in Issue Paper No. 3 on Graduate Education and Research.) Or, the soundest strategy to achieve better research results might well involve creating a new administrative unit. One approach would focus on coordinating teacher preparation and education research. To more effectively function as a resource to teacher training programs, the new agency might establish "institutes" both in northern and southern California (see Option 4). Another approach would establish an institute to support education research and to help develop research priorities (see Option 5).

Policy Options

Option 1: Make no specific recommendation regarding university-conducted research on education.

The Commission may conclude that no useful purpose would be served in suggesting that governing boards and/or the Legislature should involve themselves directly with the content of research on education or with the processes by which priorities are determined.

Option 2: Recommend to the Regents of the University of California and the Trustees of the California State University that they convey their sense to the administrations and faculties of those segments that university-conducted research on education ought to be linked more closely to public school issues.

The Commission may choose to recommend that the governing boards express their sense that education research should be focused more directly on the most compelling needs of the public schools. This might take the form of a concurrent resolution that expresses such a principle or, more potently, legislation or budget control language that mandates, somehow, that a higher priority be placed on meeting the needs of the public schools.

Option 3: Recommend to the Legislature that it authorize and support an expanded role for the California State University in the conduct of applied research in the field of education.

The Commission may conclude that the interests of the public schools would be better served by drawing CSU education faculty more deeply into applied research. In order for CSU faculty to become more effective in meeting the research-related needs of the public schools, the Legislature may need to emphasize the importance of such activity. This, in turn, may necessitate that funds be appropriated to CSU to facilitate education research activities, in part by reducing the teaching loads of some faculty. This approach may involve, but is not dependent on, a reconfiguration of CSU's responsibilities under the existing Master Plan to include awarding an Ed.D.

Option 4: *Recommend to the Legislature that it create a new structure for training teachers and coordinating education research.*

The Commission may choose to advocate formation of a new service-oriented administrative structure to bridge CSU and UC teacher preparation and education research, in conjunction with the teacher training programs of California's independent colleges and universities. This new organization could be responsible for endeavors such as the following:

1. Developing and assessing model teacher preparation programs to serve as guides for UC and CSU teacher training departments.

2. Making readily available teacher education studies and other related research to the taining activities at UC and CSU campuses.

3. Engendering greater cooperation among practicing education professionals, education researchers, and teacher training faculty.

4. Retraining education school faculty who have fallen behind in understanding research findings and other professional developments in their field of specialization.

5. Developing and administering a sustained agenda for major state-sponsored education research and demonstration projects.

This new organization or institute might usefully maintain a branch, staffed with a small number of resource people, in both northern and southern California. Its governing board could contain *ex officio* representatives from UC, CSU, and the independent institutions, as well as practicing professionals from the public schools, that is, both teachers and administrators.

Option 5: *Recommend to the Legislature that it create a new agency to stimulate relevant university-conducted research and demonstration activities.*

The Commission may conclude that the effectiveness of education in the state could be improved by the establishment of an agency designed specifically for such research activities. Call it a California Institute for Education.

Such an institute might be governed by a board drawn from the three public postsecondary segments, the independent colleges and universities, and the public school sector, along with public representatives. It would have a staff with a director serving at the pleasure of the board. Like the Office of Research of the U.S. Department of Education, the proposed agency would solicit proposals, on a competitive basis, from researchers seeking to investigate important education issues (in this case, of course, on issues especially relevant to education in California). The agency might also fund proposals for innovative demonstration projects in the public schools and in teacher preparation programs (similar in some respects to the role played by the Fund for the Improvement of Postsecondary Education, U.S. Department of Education). Researchers might occassionally affiliate with the Institute, perhaps while on leave, to conduct particulat research projects.

In addition, the Institute might have an advisory group comprised of distinguished California educators. The advisory group would provide guidance in setting priorities about promising lines of research. Call it a California Academy of Education, modeled in part after the nongovernmental National Academy of Education.

Issue 4: What public policy should the Commission recommend regarding the establishment of administrative means designed to better coordinate California education on a statewide basis?

Background

Formal education consists not of clearly separable and distinct segments but rather of a remarkably complex and interrelated set of important social institutions. The success of each segment and institution is dependent, to a greater or lesser degree, on the success of other education institutions elsewhere on the continuum. The people of California have a deeply vested interest in education at all levels -- not education of their preschoolers, or high school students, or elementary school students, or "adult learners", or vocational trainees, or baccalaureate students, but in education writ large. It is inevitable that these substantially different education missions will be organized and administered differently. A "single system," in an organizational sense, would be as misguided as it would be unprecedented. But the valid distinctions among these differentiated domains does not excuse a debilitating lack of coordination among educators and policymakers throughout the education enterprise.

Issue Elaboration

Essentially, two general approaches to public policy are available to redress this absence of adequate coordination. First, whatever may be said of the imperfections of "the system," more effective coordination might be significantly improved through reliance on existing mechanisms. Second, existing arrangements may be deemed unequal to the task, and a new administrative mechanism may be necessary to effectuate closer coordination between higher and lower education. These two approaches are discussed in turn, and the several specific policy options are outlined.

Reliance on existing administrative arrangements. California has been famous this past quarter century, and properly so, for having created a farsighted Master Plan for Higher Education -- the embodiment of a model for coordination that has been viewed with envy by a great many educators throughout the land, if not the world. A bountiful literature attests to the magnetism of the California model. Times change, and the model, not surprisingly, needs adjusting. In this process of modification, California confronts a new reality -- and a fresh opportunity. The reality is the recognition that education, from pre-school through post-doctoral training, is inextricably interwoven; one facet cannot meet the state's just expectations if the other elements are permitted to erode. The opportunity, in turn, arises from the reality: the opportunity to fashion a new mechanism for more effectively and more creatively synchronizing education's many endeavors within the state. Perhaps the time has come for a Master Plan for Education for California - a plan that would complement and supplement the Master Plan for Higher Education.

No comprehensive study exists which describes the extent to which policies that span education at all levels are coordinated within individual states. The best available information is found in the State Postsecondary Education Structures Handbook (1986), published by the Education Commission of the States. The Handbook provides an overview of characteristics of state coordinating and governing boards, including the range of their responsibilities, and describes state-level master planning activities in higher education, as well. In all, it is apparent that few statewide mechanisms exist in other states that would appear to address adequately issues of coordination. But several examples do exist, and adaptation to California's particular circumstances is not beyond question.

A range of responses is possible to the need for more careful coordination between higher and lower education in California. At one end of the continuum, the status quo might be deemed adequate in organizational terms. After all, several mechanisms exist for both formal and informal discourse across the boundaries of higher and lower education within the state. Some are voluntary, others are mandated by statute. They include:

- The Articulation Conference. A voluntary mechanism, the Conference has an administrative committee with representatives from secondary school personnel, from the various postsecondary segments, and from the Postsecondary Education Commission itself. The Conference convenes annually, and committees, operating in special interest areas, meet throughout the year.

- The Joint Committee on Vocational Education of the State of Board of Vocational Education. This Committee, with equal representation drawn from the Board of Education and from the Board of Governors of the California Community Colleges, was created to address issues involving vocational education. The Committee is generally viewed as not being very effective in effectuating coordination across institutional boundaries.

- The Statutory Advisory Committee to the California Postsecondary Education Commission. Established by the enabling statute which created the California Postsecondary Education Commission in 1974 (as successor to the Coordinating Council for Higher Education), its seven members include the chief executive officers (or their designees) for UC, CSU, and the California Community Colleges, the

Superintendent of Public Instruction (or his designee), and representatives from the Association of Independent California Colleges and Universities and from the Council for Private Postsecondary Educational Institutions. (In fact, the principals virtually never attend.)

- The California Commission on the Teaching Profession. Formed in 1984 and funded by a generous grant from the William and Flora Hewlett Foundation (Menlo Park, CA), the Commission consists of 17 members appointed by its three "sponsors" (the chair of the State Assembly and State Senate Education Committees and the Superintendent of Public Instruction). Its charge was to study the condition of the teaching profession for the public schools and to recommend action to improve it. Its report, "Who Will Teach Our Children?" (known also as the Commons Report), was issued on November 1985; as indicated in the discussion of Issue 2, the report includes recommendations to postsecondary institutions. Unlike the three committees described above, the Commission is not permanently established; at this writing the CCPT's funding is scheduled to expire on September 30, 1987.

- The California Round Table on Educational Opportunity. Formed in 1981, the Round Table focuses on issues that span lower and higher education "with particular concern for issues of access and opportunity." Its membership consists of the UC President, the CSU and California Community College Chancellors, the Superintendent of Public Instruction, the Director of the California Postsecondary Education Commission, and the Chairman of the Association of Independent California Colleges and Universities.

Given the number and variety of such mechanisms, the state might be well advised to retain and rely upon this existing array to achieve adequate synchronization across educational boundaries. Accordingly, no significant organizational changes would be warranted if the existing arrangements are deemed adequate for coordinating higher and lower education (see Option 1).

Formalizing statewide coordination. Since the 1978 enactment of Proposition 13, California has moved increasingly toward a state "system" of public education. Education in California has grown unevenly. Schooling has become an even more important instrument for influencing the state's social structure and economy. Consequently, effective planning and coordination, not only among higher education segments but also across higher and lower education, is critically important. Thus almost surely something beyond the status quo is needed, something extending beyond the prevailing approach of voluntary coordination.

Whereas it once was sufficient to have a Higher Education Master Plan, the state arguably now needs an Education Master Plan, one that will span higher and lower education. The two mammoth domains of higher and lower education are becoming increasingly interrelated, and current mechanisms for coordination and planning are plainly insufficient. A reexamined and possibly revised higher education master plan assuredly will assist in bridging at least some of the existing gaps in coordination.

Accordingly, consideration should be given by appropriate officials to formation of a California Education Master Plan which would encompass all segments -- kindergarten through postsecondary and graduate education -- as well as research on education. The eventual scope and characteristics of such an education master plan need not be resolved now; in fact, the formulation of such a plan, if deemed to be desirable public policy for the state, quite obviously would require full-scale involvement of lower education. Ultimately -- and arguably before much more time elapses -- questions need to be answered regarding the most appropriate roles, especially in terms of coordination, of agencies such as the State Department of Education and the California Postsecondary Education Commission, governing bodies such as the State Board of Education, the University of California Regents, the California State University Trustees, the California Community College Board of Governors, public officials such as the Superintendent of Public Instruction, and informal coordinating bodies such as the California Round Table on Educational Opportunity. The number of students and employees involved, the level of resources allocated to these respective endeavors, and the significance of education to the state suggest strongly that better planning and institutional coordination are in order. For now, though, it is important to make a start, to begin to construct a bridge. If the assumptions advanced above about the critical need for more effective coordination are credited, significant measures can -- and should -- be undertaken now. That is the thrust of Options 2 and 3, described below.

Two general approaches should be considered. One approach would create by statute a new apparatus -- call it, arbitrarily, a California Education Coordinating Council (or an Education Policies Council) -- which would have the responsibility of developing a strategic vision of the future as well as broad strategies for realizing that vision (see Option 2). A second approach would go a sizable step beyond, adding limited operating authority to the broad planning mandate of a coordinating council; call this approach a California Education Commission (see Option 3).

There is, of course, an extreme step beyond creating a coordinating mechanism with limited operating authority, namely, the creation of a single board for all education in California. Several states, in fact, have enacted variations on the unitary board theme, but there is no evidence to suggest that such approaches are particularly successful. Moreover, proposed changes in California must take into account the history and distinctiveness of the state's governance systems and must respect those arrangements insofar as possible. Indeed, so ill-advised (much less politically feasible) would such an approach be for the nation's largest and (probably) most complex education system that it is not addressed seriously in this issue paper as a viable option.

The coordinating council approach (Option 2) has distinct advantages. Put aside for the moment the connotations that attach to the label "coordination council"; its use in California in connection with the Coordinating Council for Higher Education, which was by most accounts too much a captive of the postsecondary education segments to be effective, may suggest inherent weakness. Actually, a coordinating council for education, created by statute and given a mandate for strategic planning and coordination, might well accomplish a considerable amount -- likely, in fact, more than can be forthcoming from the current voluntary and sporadic arrangements.

The mandate of a coordinating council (or educational policies council) might include responsibilities in the following areas:

1. To develop an overall vision for the future of education in California through defining statewide goals and objectives for education, along with broad strategies for realizing that vision.

2. To develop general strategies for planning and closer coordination among various groups and boards having responsibilities for education in the state, while recognizing the importance of maintaining a diverse system which features the distinctive roles and missions of various education components.

3. To make recommendations about revisions in the Master Plan for Higher Education insofar as proposed changes would affect lower education; these policy areas would include admission requirements, student financial assistance policies, and adjustments to segmental missions, including degree offerings, that would have an impact on lower education.

4. To develop a statewide plan, including specific recommendations, for the promotion of equal educational opportunity throughout education.

5. To develop priorities for research on education. (See, for example, the functions outlined in Option 4 under Issue 3; those functions might be subsumed by the coordinating council proposed herein.)

6. To make recommendations about teacher education and teacher certification/licensing. (These might involve, for example, such proposals as suggested in Options 2 and 3 under Issue 1 and in Option 4 under Issue 3.)

7. To develop priorities for demonstration projects or "pilot projects."

Membership on the California Education Coordinating Council (by whatever name) could be comprised in a wide variety of ways. One plausible approach would be to institutionalize membership on the California Round Table on Educational Opportunity. As presently constituted, the Round Table members include:

- the President of the University of California
- the Chancellor of the California State University
- the Chancellor of the California Community Colleges
- the State Superintendent of Public Instruction
- the Director of the California Postsecondary Education Commission

- o the Chairman of the Association of Independent California Colleges and Universities

Serious consideration should be given to the need to balance on such a council by expanding representation from lower education.

A small staff is envisioned, including an executive officer (probably appointed by the Council and serving at the Council's pleasure).

An agency with limited operational authority (Option 3) would be substantially similar in most important respects to the coordinating council described above. The policy areas falling within the agency's purview presumably would be essentially the same, and the membership of such an agency might well be the same as that envisioned for a coordinating council. The critical difference is that an agency possessing some degree of operating authority is perforce a bolder, more serious response -- and, certainly in California, a more controversial response -- to the need for more effective educational coordination. It is not contemplated that such an agency would be charged with any substantial responsibility now relegated to the governing boards of the three public postsecondary segments or to the California Postsecondary Education Commission. Rather, operating authority would be conferred in limited areas crucial to the coordination process. These might focus on policies for teacher training and policies to promote access to postsecondary institutions. The agency staff, under the direction of its governing board, might administer focused access programs; these might include, for example, the Mathematics, Engineering, Science Achievement Program (MESA) and the California Student Opportunity Access Programs (Cal-SOAP). The agency might function in some respects as a small foundation for purposes of channeling funds appropriated for educational research to the most promising applicants. (In considering the following options, the Comission may wish to refer to relevant options suggested in Issue Paper No. 9 on Governance of California Postsecondary Educational Institutions.)

Policy Options

Option 1: Make no recommendation bearing on the possible creation of a new statewide organizational arrangement to promote coordination.

This option contemplates that no action by the Commission would be desirable. In view of the array of existing mechanisms, no new structures or substantial revisions in the missions of current organizations would be sought. This assumes that the existing organizational arrangements, in the aggregate, are sufficient and are preferable to the establishment of any new apparatus intended to cut across the boundaries of higher and lower education.

Option 2: Recommend that the Legislature create an agency mandated to coordinate higher and lower education.

The Commission could recommend that the Legislature create a new independent agency, a coordinating council. The crux of the coordinating council's responsibilities would be to develop a long-range vision for education at all levels in California and to recommend strategies for realizing those goals. The council would essentially be a statutory version of the California Round Table on Educational Opportunity, but with a somewhat expanded membership and with cognizance for an array of policy areas that span higher and lower education. These areas would include, but would not be limited to, the promotion of educational opportunity.

Option 3: Recommend that the Legislature create an agency with operational authority to coordinate higher and lower education.

The Commission would recommend that the Legislature create a new independent agency with some operating authority. Its functions would be similar to a coordinating council, as described above, but the agency would have additional authority to administer a limited number of specialized programs that have particular significance in the areas of access to postsecondary education and the setting of education research priorities.

For both Options 2 and 3, the scope of responsibility for the proposed agency amd its membership are discussed in the preceding text.

* * * * *

Coordination among all of the elements of California's amazingly diverse and complex education endeavors may never be perfected. Even so, there is much room for improvement and significant programs could result from well-fashioned new policies. The overarching questions to be considered are: Is it likely that coordination between higher and lower education in the state can be significantly improved to the benefit of students at all levels? If so, what are the kinds of policies that ought to be effected to enhance that coordination?

APPENDIX A

RECENT ENROLLMENT TRENDS IN CALIFORNIA SECONDARY EDUCATION

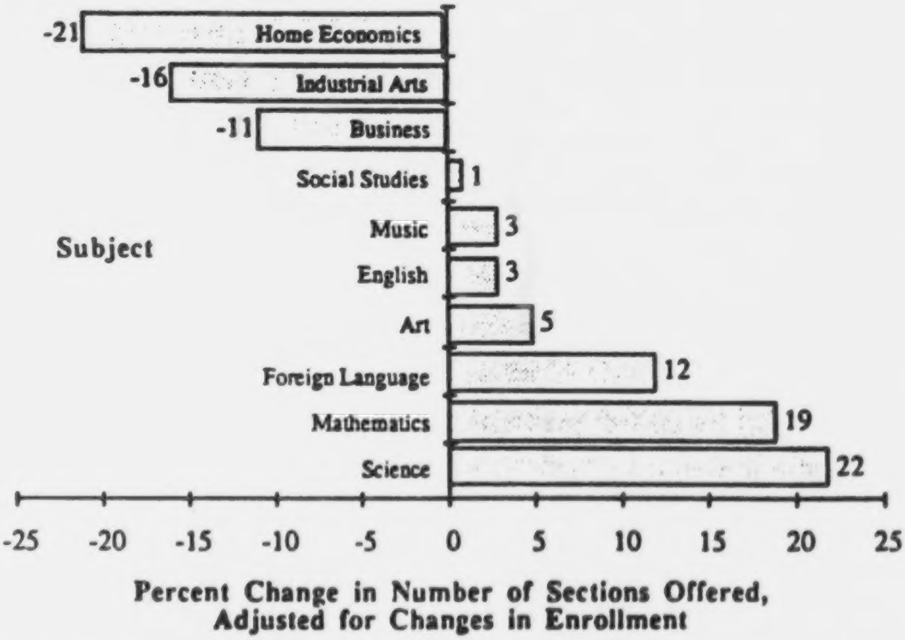
Comparing 1984 and 1985 data from the California Basic Educational Data System (CBEDS), the number of classes in almost every relevant departmental area (except music) shows continued growth, even after correcting for overall enrollment growth: English (+0.6%), social science (+1.1%), and art (+1.4%) show modest growth; mathematics (+3.4%) and foreign languages (+4.7%) reveal moderate growth; and drama (+13.0%) and science (+13.3%) display significant increases. Only music declined (by 0.4%), after correcting for overall enrollment increases. Significantly, the largest increases occurred in advanced courses (see Figure 2).

Of special relevance to the issue of admission to the four-year segments is the number of students enrolled in courses meeting University of California "a-f" requirements. The Research and Information Technology Unit of the State Department of Education compared 1984-85 and 1985-86 enrollments in courses certified to meet the University of California "a-f" requirements. (Because the California State University admission requirements are becoming so similar to the admission standards established by the University of California, it is reasonable to assume that one can obtain an accurate picture of the enrollment patterns for both segments -- or soon will be able to do so -- by utilizing change data for UC's "a-f" courses.) The Department reports that enrollment in these courses increased by 12.6 percent from 1984-85 to 1985-86. Also of interest is that statewide enrollment in fine arts courses (a California State Unviersity requirement but not a University of California requirement) increased 4.1 percent over the prior year. (Because the new admission requirements for the California State University are not operational until 1988, there is as yet no distinction possible between college preparatory and noncollege preparatory fine arts courses as reported on CBEDS, but the fact that these enrollments are growing may be added evidence that changes in admission policies of the four-year segments influence the high school curriculum almost immediately.)

The State Department of Education also collects enrollment data by ethnic group for selected advanced science and mathematics courses. The Department reports that for each of these courses (intermediate algebra/ algebra II, other advanced mathematics, chemistry, and physics) there were gains in percentages of students enrolled across all ethnic groups. In other words, students from all ethnic groups enrolled in these advanced science and mathematics courses at a higher rate than in the prior year. Significantly, the growth rate for minority student enrollment in these courses was greater than the overall increase.

FIGURE 1

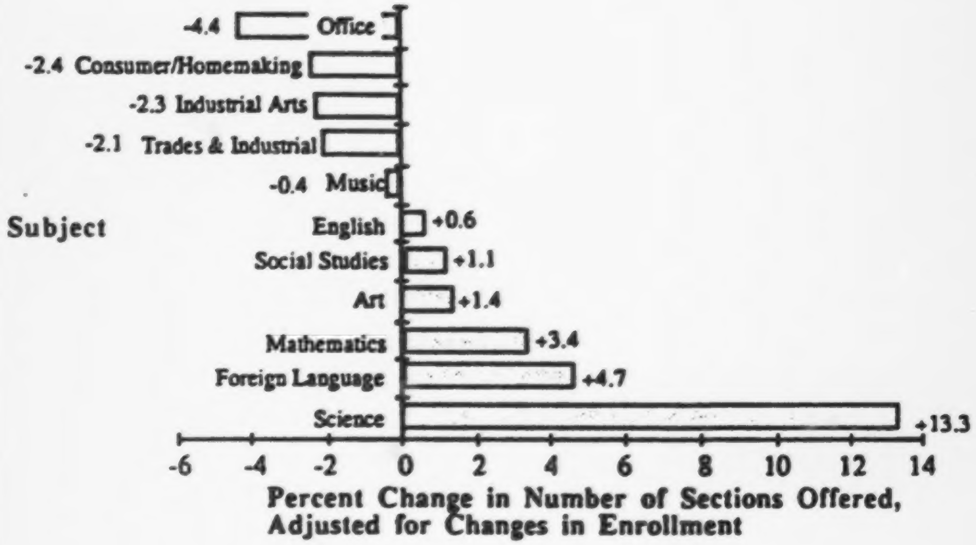
Percent Change in Number of Course Sections Offered,
Adjusted for Changes in Enrollment
1982-83 to 1984-85



SOURCE: Pam Grossman, Michael W. Kirst, Worku Negash, and Jackie Schmidt-Posner, Study of Curricular Change in California Comprehensive High Schools: 1982-83 to 1984-85 (Berkeley: Policy Analysis for California Education (PACE), July 1985).

FIGURE 2

Percent Change in Number of Course Sections Offered
Adjusted for Changes in Enrollment
1984-85 to 1985-86



SOURCE: PACE analysis of California Basic Educational Data System (CBEDS) data.

FIGURE 3

Graduation Requirements Specified by SB 813 and Recommended by the State Board of Education Admission Requirements CSU and UC

Subject	SB 813	State Board of Education	CSU Required 1988	UC Required 1986
English	3	4	4	4
Mathematics	2	3	3	3
Algebra		(1)		
Geometry		(1)		
Science	2	2	1[d]	1[d]
Physical	(1)	(1)		
Life	(1)	(1)		
Social Studies	3	3	1[e]	1[e]
World Civ.	(1)	(1)		
U.S. History	(1)	(1)	(1)	(1)
Ethics		(.5)		
American Gov.	(1)[a]		(1)	(1)
Economics		(.5)		
Foreign Language	1[b]	2[c]	2[c]	2[c]
Fine Arts	1[b]	1	1[f]	
Computer Studies		.5		
Physical Education	2			
Electives			3	4

[a] Including civics and economics

[b] One year foreign language or fine arts

[c] Must be in same language

[d] Lab required

[e] U.S. History/Government

[f] Visual and performing arts

SOURCE: California Postsecondary Education Commission, and California State Department of Education.

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ISSUE PAPER NO. 5

RETENTION: RETENTION AND GRADUATION FROM THE FOUR-YEAR INSTITUTIONS; REMEDIATION; OLDER, PART-TIME AND OTHER NONTRADITIONAL STUDENTS; EDUCATIONAL EQUITY

Introduction

This paper covers general retention issues, issues specifically associated with special-admit students, the increasing need to serve older, part-time and other nontraditional students, problems and issues of remediation, and the broader issue of educational equity (building upon both the discussion of "access" which appeared in Issue Paper No. 1 and retention issues raised in the following discussion).

Issue 1: What public policy should the Commission recommend regarding retention within and graduation from the California State University and the University of California?

Background

In the 1960 Master Plan, the Survey Team only cursorily discussed retention (pp.6, 76-7). Their expressed concerns were limited to institutional procedures regarding scholastic probation and dismissal and a need for greater uniformity among the segments in applying related policies. There was no discussion of any need to improve retention rates, or any analysis other than "malingering" (p.76) as to why students might not ever reach graduation. However, retention has become a major issue for the universities, both in terms of educational equity and in preparing the entire state for the future. If California is to respond to the challenges of the emerging "high-tech" and service-oriented economy, then increasing numbers of its citizens must be educated to at least the baccalaureate degree level.

California currently ranks second nationally in the number of adult citizens with at least four years of college education. In percentage terms, the state is well above the national average. However, California imports more than 50 percent of its employees in nearly every category calling for a baccalaureate or higher degree -- in education, nursing, business, government, and technical fields. Recently, it has been asserted that out-of-state recruitment has become more and more costly and difficult for California business and industry. The result has been numerous appeals to the state's universities for expansion of enrollments in several areas (CSU, "Increasing Baccalaureate Productivity," p.4).

California's reliance on non-native college graduates is the result of many factors including the attractiveness of California and its expanding economy to persons from other regions, the selectivity of the state's public universities which reduces access for much of the in-state population,* comparatively low retention rates in parts of the higher education system, and the highly developed Community College system which offers substantial alternatives for high school graduates and which has the highest participation rate of any community college system in the country (no state in the nation with a high proportion of students enrolled in community college programs exceeds the national average in percentage of baccalaureate degree awards, ibid.).

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*No other state is as selective as California in policies for admission to its public universities.

If California is to produce more native college degree holders, it can do so in two primary ways: through increasing access to the state's public and private institutions (as the Commission has already discussed in considering Issue Papers 1 and 2, respectively), and/or through greater retention and graduation of students enrolling in those institutions.

In looking at retention and graduation there are also ethical issues involving institutional responsibility for meeting the needs of those students it has chosen to admit. As the Master Plan Commission has itself pointed out in The Challenge of Change, "access without success does not equal opportunity...access must be meaningful; and to be meaningful, it must be access to a quality system that helps ensure the success of every student who enrolls" pp.1, 2). To help assure "success", the Commission made two recommendations for the Community Colleges that are directly relevant:

> 2. That the Board of Governors combine open access with clearly defined academic standards. In consultation with the colleges and the Academic Senate, the Board shall cause to be established minimum academic skill levels appropriate for the different types of courses and programs offered, as well as strengthen current probation and dismissal standards for students. Students needing academic assistance or additional preparation should be provided access, through remedial programs, to enable them to enter college courses in a reasonable period of time.
>
> 3. That the Board of Governors require a mandatory assessment, counseling, placement, and follow-up program in the California Community Colleges, and that the Legislature and Governor provide adequate funding for the program. This program must be accompanied by access, if needed, to remedial education as recommended later in this report.

UC and CSU overall retention/graduation rates:* Among regularly admitted students at UC, almost 60 of every 100 students graduate within five years, 10 more graduate from within the system later, and another 10 graduate from some other four-year college or university (CPEC, Director's Report, December 1985, p.18). These data are much higher than the national average for public four-year institutions (ibid.), and somewhat higher than the national average for all institutions combined (overall nationally, slightly less than half the students in bachelor's degree programs graduate in four years, approximately 60 percent graduate in six years and about 70 percent graduate from some institution after seven years, Hodgkinson, p.8).* UC's persistence and graduation rates, however, are lower than the rates for highly selective independent universities (CPEC, op. cit. p.18). In California, for example, five year graduation rates for very selective institutions range from 66 percent at Harvey Mudd, to 71 percent at Cal Tech, to 73 percent at Occidental, to an impressive 83 percent at Stanford (AICCU, April 24, 1986).

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*Data for this section are not always directly comparable because of reporting differences among institutions. For example, California uses five-year graduation rates while much of the rest of the nation still uses four-year data. Also, CPEC has both regular-admit and overall graduation rates -- factoring in special action -- for CSU, while the UC data show regular-admit and special-admit statistics, but no combined overall graduation rate.

The continuation and graduation rates for regularly-admitted CSU students "are substantially lower than those of the University and below the national average for students at public four-year institutions, despite the fact that the State University is more selective than most public four-year institutions in other states" (CPEC, op. cit., p.19). Among regularly admitted first-time freshmen, just 29 percent graduate within five years, with some of these receiving a degree from CSU at a later time. A few others also graduate from other institutions. The pattern of part-time enrollment and full- or part-time employment among CSU students, particularly at the upper division level, has meant that the typical time to a baccalaureate degree at CSU has increased to six, seven or more years. As a result, CSU's overall graduation rate -- including special-admits -- jumps from only 25.6 percent in five years to 40.3 percent in seven years, to slightly over 44 percent after 10 years (ibid.).

Before comparisons are made or conclusions drawn from the raw graduation-rate data, a few cautionary notes are in order. It is very difficult to compare different types of institutions. Undifferentiated comparisons run the risk of leading to unfair conclusions. CSU, for example, has a high proportion of working and part-time students,** is less selective than UC, and is predominantly a commuting institution (only about 5 percent of CSU undergraduates live in university housing). Short-term graduation studies always favor more residential institutions over commuter institutions. Even within CSU, the differences are dramatic: San Luis Obispo, Chico, and Fresno -- campuses that have a substantial number of students living on or near the campus -- have seven-year graduation rates of 51.3, 50.1, and 47.2 percent respectively (CSU, "A Perspective on CSU Graduation Rates"). CSU argues that although there is a dearth of information nationally on graduation rates by institutional category, their 10-year graduation rate of 44 percent approximates the national average of 50 percent for their type of institution and puts CSU only a few percentage points behind the most comparable institution, the State University of New York (ibid.). It should be noted, however, that CSU is more selective than SUNY.

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*Overall graduation rates for UC would be a few percentage points lower if special-admits -- 5 to 6 percent of all UC first-time freshmen -- were factored in. See below.

**In 1982-83, 72.6 percent of CSU students worked an average of 23 hours per week compared with 58 percent working an average of 16 hours at UC. The average unit load at CSU was 12.32 compared to 14.14 at UC (CSU, "A Perspective on CSU Graduation Rates").

Finally, it is difficult to draw direct correlations between graduation rates and whether an institution is responding to student needs. A variety of factors both internal and external to the institutions are at work, including changing student goals and priorities, high school preparation, preferences for different educational environments resulting in transfer to other institutions, availability of financial aid, academic dismissal policies, or very personal factors such as health, family, income, motivation, or career aspirations. Researchers have estimated that factors external to actual college experience may influence up to 50 percent of a student's decision to ultimately withdraw from school (Tinto, 1975).

Special-Action Students and Graduation Rates: As discussed in the issue paper on "Access" (No. 1), both UC and CSU have set percentages of special-action admissions for promising students who do not meet normal entrance requirements. While special-action is often viewed as an affirmative action program for disadvantaged, underrepresented minorities, such is not necessarily the case.

At UC, the 6 percent freshmen special-action admissions are divided into two-thirds "disadvantaged" (underrepresented minorities and others), and one-third "general" -- adults, veterans, athletes, those with special talents, persons with minor scholastic or subject-area deficiencies, and individuals who come highly recommended or demonstrate other aptitudes for collegiate success. The four percent advanced standing special-admits are divided equally into "disadvantaged" and "general." At CSU, the overall 8 percent special-action admissions are comprised of only about 55 percent disadvantaged students with the rest falling into other categories similar to the universities "general" designation, above.

In terms of underrepresented minorities (Blacks, Hispanics, and American Indians), the totals within the special admission category are somewhere between 55-60 percent at both UC and CSU. The remainder of special-action admissions is composed of whites, Asians, and Filipinos (CPEC, "Special Action Admission", Draft, September 1986).

While special-action admissions are not confined to underrepresented minorities, special-action is critically important to the representation of such groups in the universities. At UC, 44 percent of the Black freshmen and 24 percent of the Hispanic freshmen are admitted via special-action. At CSU, the figures are even higher: on the average, 60 percent of Black freshmen and one-third of the Hispanic freshmen are admitted as special-admits (ibid. pp.9, 19).

The graduation rates for special-action students are quite low in both UC and CSU. At UC, where six out of every ten regularly admitted freshmen graduate after five years, only one out of every five or six special action students do likewise. A few, of course, graduate later. At CSU, where more than one of four regularly admitted freshmen graduate after 5 years, less than 1 in 12 special-action students do the same. While at least 45 percent of CSU regularly-admitted students graduate eventually from the institution, it is estimated that "among specially admitted first-time freshmen ...probably no more than one in six ever earn a State University baccalaureate degree" (CPEC, Director's Report, December 1985, p.23).

Within the overall special-admit category, the prognosis for underrepresented minorities is even worse. CSU's Division of Analytical Studies calculates both continuation and graduation rates to arrive at a "tracking" rate for CSU students. Resultant tracking data clearly show that within the larger special-action category, underrepresented groups fall measurably below other groups and below the special-admissions overall average retention figures (CSU, "Those Who Stay - Phase V", January 1985). If studies were done, the same probably would be found to be true at UC. Whatever the particular case, and regardless of whether special-action students should ever be expected to graduate at rates comparable to better-prepared regular-admits, available data suggest that for a large percentage of special-action students, access is gained to the public universities without realistic opportunity to achieve a baccalaureate degree.

Issue Elaboration

Although educational literature is replete with analyses of persistence and retention, it is very difficult for any researcher or analyst to draw direct correlations between institutional programs and activities and retention rates. As cited above, there are so many variables -- both internal and external to the institution - that it is generally impossible to pinpoint precisely why students either persist or withdraw from a college or university.

What is known and agreed upon is that one of the most important factors in student retention -- other than student motivation and determination -- is the active involvement of students in campus life (Astin, 1975).* This involvement may take many forms. Tinto (1975), for example, stresses academic integration. A university's commitment to actively involve students in their own learning is seen as the major factor in such integration. Others, touching on the same theme, emphasize making student support programs interactive, thereby not only developing academic skills, but also increasing students' commitment to personal academic goals and completion of a degree (Beal and Pascarella, 1982; Garfield and Dunham, 1985). Still others stress close student-faculty interaction in a variety of interpersonal contexts (Gaff, 1973; Wood and Wilson, 1972).

Perhaps the most important factor in providing opportunity for continued student involvement in campus life at the four-year institutions is the availability of residential housing on or near campus (Astin, 1977; Chickering, 1974). Based on 10 years of longitudinal studies, Alexander Astin, Director of the Cooperative Institutional Research Program, has concluded, "By far the most important environmental characteristic associated with college persistence is living in a dormitory during the freshman year... This adds about 12 percent to the student's chance of finishing college" (p.109). Most analysts are well aware of the significant difference in retention rates between primarily residential institutions and predominantly commuting ones. (Although it should be noted that primarily residential campuses are also often different in other ways which affect student involvement and thus retention -- smaller campuses, smaller classes, more opportunity to meet faculty, etc. All of these in part explain why private institutions generally have higher retention and graduation rates than public ones.)

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*The following discussion pertains primarily to the traditional college-age student. Other factors may more directly effect older and part-time students. Their needs are addressed under Issue #3, below.

As to student-faculty interaction -- be it defined in terms of academic integration, interactive support programs, or interpersonal relationships -- Astin has posited that such interaction "has a stronger relationship to student satisfaction with the college experience than any other involvement variable, or indeed, any other student or institutional characteristic. Students who interact frequently with faculty are more satisfied with all aspects of their institutional experience..." (ibid. p.223). Student satisfaction, in turn, is presumed to be correlated with student retention and persistence rates.

Close student-faculty interaction is particularly difficult at large public institutions like UC and CSU. At UC, large classes coupled with the research demands for ladder-rank faculty militate against close involvement with large numbers of students. At CSU, heavy teaching loads and the predominantly commuter nature of most of the system serve to curb student-faculty relationships. At both institutions, the primary opportunity for close interaction comes in the area of academic advising (although there are certainly other interactive areas through support programs, interpersonal relationships, and general discourse outside of the classroom environment).

Unfortunately, at most larger institutions, quality academic advising has been a hit or miss proposition depending almost exclusively on the personality and concerns of individual faculty. As a CSU study has pointed out, most faculty have come to view advising as a rather mundane activity generating little recognition, status, or reward (CSU, "Academic and Career Advising", p.4). As student bodies have diversified --e.g. new ethnic groups, older adults, commuters, part-timers, underprepared -- many faculty have become even more disinclined toward advising, counseling, and other interactive support. They often feel illprepared and caught between traditional, purely academic concerns of degree and course choices, registration, course scheduling, graduation requirements and the like, and the more recent demands that advisors or counselors follow a student development model taking account of affective, cognitive, preparation and social dimensions of student experience, since all are ultimately related to academic decisions and performance.

Faculty reluctance in the advising process has hampered the opportunity for closer student-faculty interaction on the public university campuses and has helped lead to a general sense of dissatisfaction among students with the whole advising process. Yet as the CSU document has pointed out, the "data are consistent and clear" that student retention is linked to advisement; that "faculty advisors as 'significant others'" and "faculty mentors" are extremely important for student persistence and quality; that "merely a concerned attitude toward students on the part of faculty is enough to significantly affect persistence rates;" that "advising can make a difference in retention to the extent that there is regular student-faculty interaction, whether course-related, career-related, or merely informal ...but such contacts must be sustained and meaningful...;" and that "establishment of physical, social, and psychological commitments to and identifications with the campus are powerful contributors to retention" (ibid., pp.25, 26, 34, 35).

CSU staff are eloquent in defining the critical problem: "(it) becomes one of persuading faculty that academic and career advising is a legitimate role to adopt, like that of teacher or scholar, with attendant rewards or recognition" (ibid., p.25). Faculty should be evaluated for advising, but "evaluation without reward makes little sense. It should be obvious that any reward system for advising must be both direct and tangible to be effective and, most importantly, it should become an integral part of faculty workload policy and of the personnel review process. No doubt much of the previous dissatisfaction with faculty advising can be traced to the low priority accorded advising duties in personnel decisions" (ibid., p.37). Recognizing that not all faculty are fit by personality or inclination to make good advisors, the authors of the CSU study balk at the notion of universal advising requirements for faculty; they suggest, instead, a differentiated structure of faculty roles and evaluation criteria so that for those faculty who do participate heavily in the advising process, their duties are properly weighed in personnel reviews. The authors also point out that there are rewards outside of personnel procedures that could be offered to faculty: e.g. clerical and student assistance; equipment and computer terminal preference or availability; preferential class scheduling; reduced committee or teaching loads; preference for office space; or specific monetary awards for deserving faculty.

The factors cited in terms of overall student retention -- involvement in campus life, residential opportunities, interactive educational experiences, close student-faculty interaction -- are also of major importance for special admission and other "nontraditional" students (minorities, first-generation college students from low-income backgounds, etc.). A 1980 study of California's independent colleges and universities, for example, shows that minority persistence and graduation rates in AICCU colleges almost equal those of other students. The high rates are attributed to close student-faculty relations, faculty attention given to individual students, the benefits of small campus environments where students become actively involved, and the residential nature of the private institutions (AICCU, February 1980). A Woodrow Wilson Foundation study of "Hispanic Participation in Higher Education" also notes the critical importance of student-faculty links in breaking down the sense of alienation that so many minority students encounter within the university (pp. 47-48). A study of Oakes College at UCSC emphasized how important active involvement was for all students new to the university and demonstrated how immediate engagement of nontraditional students serves to break down feelings of isolation and alienation (An Academic Tragedy). Astin (1977) has shown how important residential opportunities are for all students, regardless of background.

While there are definite commonalities in retention issues among the general student body and among nontraditional students, there are also other factors known to have particular importance for underrepresented students and those admitted under special-action. Some of the factors pertain to the larger question of institutional environment and are addressed under issue #4, below. There are specific programs, however, known to significantly influence the retention of underprepared students which we summarize for consideration.

First is the issue of effective assessment, counseling, placement, and follow-up already addressed by the Commission in regard to the Community Colleges in *The Challenge of Change*. The rationale for such programs is equally germane to the situation of the underprepared student at the four-year institutions. As was pointed out in the Commission's *Background Papers* (p.33), educational needs of underprepared students must be evaluated, individual skill levels assessed, and appropriate programs designed so that the underprepared student has a reasonable opportunity to fully develop his or her latent potential.

Second, summer "bridge" programs offered by most CSU and UC campuses for entering EOP/SAA freshmen have proven to be particularly successful in positively influencing minority student retention. Designed to "bridge the gap" between high school and college, the programs are taken in the summer before the freshman year, and allow the institutions to assess students' academic competencies and study skills, provide instruction in areas of basic skills' weaknesses, and introduce students to campus expectations, culture, and social life prior to the arrival of other students. The success of these programs in improving the persistence rates and grade point averages of participating students has been quite dramatic. But the programs are not usually required of students, and for work or other reasons, many EOP/SAA students do not partake of the "bridge" program opportunity.

The University has recently collected and analyzed data pertaining to summer bridge programs at UCSD, Davis, UCLA, and Berkeley.* The data show significantly higher retention rates after the critical first year for program participants as opposed to eligible nonparticipants. At UCSD, for example, the rate was almost three times higher. At UCLA, program participants persisted at rates equal to the rest of their entering class for two years and only fell slightly behind in the third year. At Berkeley, first-year persistence was roughly equivalent to that of the entire freshman class despite considerably lower academic preparation among summer bridge students (Various UC studies summarized for MPC by staff from the UC President's Office).

Third, retention literature leaves little doubt that the first-year experience is critical to a student's decision to continue at a particular institution. National studies note that in terms of underprepared students *per se*, dropout rates are most common for students with high expectations but poor high school preparation. Such students quickly enter a downward spiral from which it is exceedingly difficult to extricate themselves. Thus, tracking programs designed to identify and monitor the "high-risk" students at an early stage are important to any coordinated strategy for improving underprepared student retention.

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*CSU is also undertaking a long-term analysis of summer bridge programs on eight of its campuses. The Far West Laboratory for Educational Research and Development has just completed the first year of a three-year study for the CSU. Unfortunately, persistance data will not be available for another two years.

To meet this challenge, UC Davis has developed a unique program known as the Early Warning System (EWS), which identifies special-action students in trouble and provides immediate intervention (making recommendations for tutoring, interviews to discover problems, close counseling, etc.). In analyzing the program it was found that persistence rates for EWS students were 15 percent and 19 percent higher in the years 1981-82 and 1982-83 than for other students who experienced similar academic difficulties (UCD, "Evaluation of the Individual Study Program Early Warning System"). The Woodrow Wilson study cited earlier also discussed the imperative of "close monitoring during the initial years" for high risk students, and suggested on the basis of interviews with various California college administrators that such monitoring be mandatory (p.48).

Policy Options

Option 1: Recommend that the Board of Trustees of The California State University endeavor to significantly improve the system's retention and graduation rates by 1995, using the national average for similar institutions as a target. Programs that the Board should consider in retention efforts include:

A. Expansion of residential facilities within the CSU, particularly at the urban institutions.

B. Assessment, counseling, placement, and follow-up for all students.

C. Expanded support services.

D. Greater interaction between faculty and students.

In meeting this recommendation, CSU would be free to concentrate its efforts on whatever programs the University determined to be most appropriate to its particular situation. Efforts might vary from campus to campus and might include mandatory advising and counseling, ESL programs, more programs geared to adult and part-time learners, programs to involve faculty in student life, or greater support services development. In meeting national averages, CSU would be expected not only to consider the fact that it is a predominantly commuting institution with a high proportion of older, part-time students (lower retention and graduation rates), but also that it is a quite selective institution (higher rates). In meeting this recommendation, the CSU would have to be careful not merely to adopt policies known to improve retention (i.e., residential requirements for freshmen, more emphasis on the full-time students), but which would effectively eliminate students the system is currently serving.

Option 2: Recommend that the Board of Trustees of The California State University and the Regents of The University of California endeavor to improve significantly the retention and graduation rates of special-admission students by 1995, using a graduation rate of 67 percent of that of the regularly admitted student body as a target. Programs that the Boards should consider in special-admit efforts include:

A. Mandatory assessment, counseling, placement, and follow-up for all special-admit students.

B. Mandatory summer bridge programs for students.

C. Early warning intervention programs.

D. Greater faculty involvement in interactive advising and support services efforts.

The suggested 67 percent rate is an arbitrary target figure open to alteration by the Commission. Additional programs to improve retention rates would obviously have associated costs.

Option 3: Recommend that the Regents of The University of California and the Board of Trustees of The California State University in consultation with the faculty establish clearly articulated faculty reward structures -- allowing for a differentiated system of faculty roles and evaluation -- that will encourage greater faculty interaction with undergraduate students particularly in the area of academic advising.

As mentioned in the text above, such reward structures could be built into the faculty personnel process (promotion, tenure, merits), but could also include a variety of other alternatives. It is clear that without sufficient rewards and recognition, it is extremely difficult to involve sufficient numbers of faculty in the advising and student-life process. Given faculty's limited time, however, greater attention to student interaction and advising could detract from other faculty roles in research and/or class preparation.

Issue 2: What public policy should the Commission recommend regarding the offering of remedial courses within the California State University and the University of California?*

Background

In the 1960 Master Plan, remediation was not considered an issue for the four-year institutions. Indirectly, the Community Colleges were charged with the responsibility for virtually all remediation:

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*For detailed background on the remediation issue, including definitional problems, variations by segment, CPEC's recommendations regarding reduction of remedial courses in the public universities, the Master Plan Commission Taxonomy of remedial courses, who takes remedial courses and cost factors, please review Background Papers: The Challenge of Change, pp.62-69.

> "If the state colleges and the University have real differentiation of functions between them, they should have substantially different admissions requirements. Both should be exacting (in contrast to public higher educational institutions in most other states) because the junior colleges relieve them of the burden of doing remedial work" (p.66).

In light of the above charge to the Community Colleges, the current Master Plan Commission carefully analyzed remediation issues during its review of the Community Colleges and ultimately made several recommendations specific thereto:

> 5. That remedial education be affirmed as an important function of the colleges. It is essential to helping inadequately prepared students succeed at the postsecondary level.
>
> 21. That the Board of Governors authorize Community Colleges to continue to provide remedial education courses as needed to help students succeed at the postsecondary education level. Such courses should be offered only for noncredit or nondegree credit (i.e., not applicable to the associate degree nor certifiable for transfer).
>
> 22. That the Board of Governors establish a limit to the number of units of remedial coursework a student may take. The Commission endorses a limit of thirty semester or forty-five quarter units. Students needing additional remedial work should be directed to noncredit adult basic education programs, in either the Community Colleges or the adult schools, or to other community-based services. English as a Second Language and learning-disabled students should be exempt from the unit limit, and college counselors should be permitted to request waivers for students who reach the unit limit but are still showing significant, measurable progress toward acquisition of college-level skills.
>
> 23. That the Board of Governors establish a policy that enrollment in remedial courses be mandated based on the student assessment, counseling and placement program recommended in this report's section on "Access and Success."
>
> 24. That the Board of Governors establish a policy that concurrent enrollment in nonremedial courses be made contingent on student achievement of appropriate collegiate skill levels.
>
> 25. That the Board of Governors establish a policy that competency skill levels and their assessment be closely articulated with Community College feeder high schools.

While the Master Plan Commission did look at remedial issues as they pertain to all three public segments, no determinations were made regarding the public universities, and so we return to the subject here.

When the Master Plan was written in 1960, the Survey Team had no idea of the profound changes that today so greatly affect the preparation and skill levels of entering college students: the overall decline in the public schools; the entry of substantial numbers of disadvantaged students into the university; later reductions in enrollment and declines in certain types of financial support; and increasing misconceptions on the part of participating students as to the nature of learning and higher education with a concomitant decline in the ability of many students to think abstractly and transfer skills from one purpose to another, across disciplines. As a result, the public universities are confronting ever larger numbers of students who on entry are not prepared to do what is traditionally defined by the institutions as "college level work."

Regardless, then, of the explicit charge to the Community Colleges to "relieve" the universities "of doing remedial work," both CSU and UC have found it necessary to introduce substantial remedial programs. In 1980-81, for example, remedial courses in just the areas of reading, writing, and mathematics in UC and CSU accounted for over 50,000 enrollments at a cost of more than $9 million (CPEC, Promises to Keep, p.101). During the same year, in all remediation -- courses as well as extra support services and programs -- the University spent over $6.6 million, representing a 17 percent increase over 1979-80 and a 40 percent increase over 1978-79, while the CSU spent $9.3 million, a 97 percent increase over two years earlier (MPC, Background Papers, p.65). We can safely assume that the costs have not decreased since the above data were gathered.

One of the problems associated with remediation is that dollars spent on such activities are, thus, not available for other college programs and services. Martin Trow puts the problem in perspective when he quotes a UC math professor:

> "Everyone agrees that we should help students who need it, but what concerns us is that there are so many students who need it. Offering precalculus classes has decreased the availability of the upper division courses that should be taught by anything calling itself a University math department. There is now a little resentment about what the increase in service courses is doing to our department, and alarm about what will happen if it gets worse" (Underprepared Students and Public Research Universities," p.200).

Yet as CPEC found on site visits to various university campuses around the state, every faculty member and administrator interviewed felt that, "if students meet the admissions criteria or qualify as exceptions, the institution has a responsibility to serve them" (CPEC, op. cit. p.101). There is strong feeling in most educational quarters that if the university is to serve regularly admitted students, then once those students have met entrance criteria it is necessary for institutions to meet the students at the skill levels they bring with them. And, if the universities are to pay more than lip-service to equal educational opportunity, then it is also necessary to provide remediation for special-admits who are already known to be underprepared by virtue of their entrance status.

It should be stressed that remediation is not solely a special-admit or minority student problem. While such students may require somewhat more remediation due to the quality of their high school experience, remediation needs cut across all socioeconomic, ethnic and gender lines. In both UC and CSU, for example, over 50 percent of all entering freshmen require English courses at levels below the initial "University Level" offerings, while in math, remedial courses are necessary for over 43 percent of CSU freshmen and approximately 20 percent of all UC freshmen.*

Issue Elaboration

In 1983, CPEC recommended that UC and CSU "reduce remedial activities in reading, writing, mathematics, and English as a Second Language within a five-year period to a level consonant with the principles of both quality and access as determined by each segment." CPEC went on to recommend that both systems explore cooperative arrangements with institutions such as Community Colleges and K-12 adult schools to provide remedial activities..." (*Promises to Keep*, p.102). Although in their analyses CPEC mentioned issues such as costs and academic standards, their primary argument was based essentially on the "clear message that would be given to the high schools," if the universities were to reduce remedial instruction and that "even in the face of current need...long term benefits would accrue from such reduction" (CPEC, "Progress Report on Segmental Responses," pp.5-6).

In essence, the University responded that the need for remedial instruction can only be reduced in the long run by improving high school preparation, that UC would work cooperatively with the high schools to improve their programs, and that cutting back remedial programs now would have deleterious effects for many students including but not limited to low-income and minority students (*ibid*., pp.3-5). As to cooperative arrangements, the University argued that such arrangements "are not a practical solution to the total problem of student underpreparation at UC because Community College courses do not necessarily have the same content nor are they necessarily taught at the same level as University courses, even if specific articulation agreements are reached (*ibid*., p.4).

CSU, on the other hand, agreed to "establish goals for the reduction of remedial activity" hoping by 1990 "to reduce the need for remediation by all regularly admitted first-time freshmen to 12 percent in English and 8 percent in mathematics" (CPEC, "Segmental Actions Regarding Remedial Education", p.4).** However, as CPEC itself has pointed out, such expectations may be difficult, particularly because in 1985 CSU had to revise downward the SAT and ACT scores and GPA average necessary for admission, in order to assure access to the top one-third of California's high school graduates rather than the 29 percent that were then eligible (*ibid*.). In response to the Community College cooperation recommendation, CSU agreed to try to work out cooperative arrangements wherever possible.

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*See Appendix A, "Remediation Taxonomy," for levels of courses required for particular percentages of students and for general subject matter within those courses.

**CSU reserved the right to continue current levels of remediation for special-admit students.

In the same report in which it was proposed that remediation be reduced, CPEC also recommended "that neither the University of California nor the California State University shall grant baccalaureate credit for courses in reading, writing, and mathematics defined by the faculty as remedial..." (*Promises to Keep*, pp.107-8). In order to protect standards for the college curriculum, CPEC argued that only workload credit* be granted for whatever remedial courses remained in the curriculum. CPEC went on to recommend that state funding for remedial courses not be affected by the "workload" designation. (Currently, CSU is funded for noncredit remedial courses, but UC is not. CPEC was trying to assure that UC was not financially penalized by the Legislature for granting workload credit only. Without such assurance, UC might not be able to afford to withdraw baccalaureate credit unless it were to divert funds from other programs).

Since 1980, CSU has adhered to a policy of granting only workload credit for remedial courses. In 1984, the UC Academic Senate voted a similar policy for the University, resulting in the successful elimination of credit for mathematics remediation, but causing considerable problems in the "English" area.

In terms of mathematics, withdrawal of baccalaureate credit has had negative budgetary consequences as it has meant the elimination of state funding. Consequences of the change are not yet fully apparent, but UC faculty and administration have expressed concern that University resources may not be sufficient in the future to meet student needs (CPEC, "Segmental Actions," *op. cit.*, pp.25-6).

As to English remediation, several problems are apparent. First, more than 50 percent of the entering freshmen class is required to take Subject A, the basic pre-university level class. Total elimination of credit with the concomitant withdrawal of state funding could be quite detrimental to the University's budget. Secondly, there is little consensus within UC whether Subject A is entirely a remedial course. Several campuses argue that much of the subject matter goes beyond remediation. Thus, there is a situation in which some campuses offer full-credit, some only partial credit, and some only workload credit (*ibid.*, p.25).

For those campuses that have eliminated all baccalaureate credit for Subject A, UC's Work Group on Student Preparation and Remedial Education has pointed to "significant negative consequences." After concluding that Community College cooperation could not alleviate the problem because "Community College courses do not achieve University standards,"** the work group says:

> The withdrawal of credit has affected both student and faculty morale negatively. As one instructor said, "It is apparent by the second week of classes that students have a sense of discrepancy between what they are asked to do and the lack of credit they get. They are already demoralized." A consequence is that many students do not take

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*Such credit would be counted for financial aid.

**However, it should be noted that transfers from the Community Colleges do virtually as well in persistence and graduation rates at UC as do UC's native students.

> the courses seriously, doing only the minimum amount of work required to pass the course. Many faculty are demoralized because they believe the withdrawal of credit is a sign that the University does not take the courses seriously (ibid., p.26).

As Martin Trow has pointed out there are good arguments on both sides of the credit issue. On the one hand he argues:

> The obvious objection to offering credit for remedial work in college is that this reduces the amount of "college level" "nonremedial" work a student will need for a degree. In a system that awards undergraduate degrees on the accumulation of credits rather than, as in Europe and in most graduate work in this country, on the demonstration of competence in an examination or essay, a lowering of the level of some of the credits will arguably reduce the level or quality of the work that the degree reflects.

On the other hand, Trow also presents the other side of the argument:

> The trouble is that what first degrees represent in knowledge and skill varies so much between different institutions, and between different departments and disciplines within the same institution, that a certain dilution for a subset of students in the level of the work they take is probably not discernible after four years of college anyway (Trow, op. cit., p.201).

Policy Options

The policy options that the Commission may wish to consider regarding remedial education within the public universities include the following. The options are offered with the recognition that the preparation of students is ultimately the responsibility of the public and private school systems and that the universities should not indefinitely continue to offer remedial courses.

Option 1: Recommend that the Board of Trustees of The California State University and the Regents of The University of California continue to approve the offering of remedial courses, but that the Boards should establish academic floors below which remedial instruction would not be offered.

The option is a short-term solution, applicable until the school systems are able to adequately prepare students for university course-work. Such an option could be based on the taxonomy of remediation developed by Master Plan Commission staff and an intersegmental task force (see Appendix 1, "Remediation Taxonomy"). For example, the taxonomy differentiates between Pre-College Level 1 (PC1) remediation courses -- offered for those students who are college ready except for some specific skill deficiencies which require instruction one level below university levels -- and Pre-College Level 2 (PC2) courses for students who are nearly college ready but exhibit serious multiple skill deficiencies requiring more attention. Again, exception could be made for special-admits. However, recommending that the systems deal only with Pre-College Level 1, for instance, could have serious repercussions for students in the CSU. While UC offers very few PC2 level courses, CSU enrolls 15.8 percent of its regularly-admitted student body in PC2 English courses and 9.2 percent of the regularly-admitted students in PC2 math courses. These students would have to be directed to instruction at other institutions.

Option 2: Recommend that the Board of Trustees of The California State University and the Regents of The University of California continue to approve the provision of remedial instruction, but require that all enrollment in remedial courses be mandated based on student assessment, counseling, placement, and follow-up.

Again the option is short-term, pending improved preparation in the public schools. The option would guarantee that all inadequately prepared students were assessed and monitored during the critical early years of the university experience. Follow-up would help assure that students at risk were also put in contact with existing support programs and matched more closely with courses compatible with existing skill levels. Exceptions would obviously have to be made for students with only minimal deficiencies -- for example those required to take Subject A in the University to brush up on writing skills but otherwise prepared for college-level work. There would be costs associated with such a program.

Option 3: Recommend that necessary remedial courses in the public universities should be state-funded, but should not carry baccalareate credit.

Exceptions could be made for courses such as Subject A when shown to include both remedial and college level work. The option would confirm current CSU policy, but could relieve the University of funding difficulties arising from the offering of remedial courses it sees as necessary to overall student development. Removal of all baccalaureate credit, however, could enhance problems of low faculty morale and student disinterest.

Issue 3: What public policy should the Commission recommend to meet the needs of older, part-time and other nontraditional students in the four-year institutions.

Issue Elaboration

The 1960 Master Plan mentions virtually nothing in regard to possible changes in the postsecondary education clientele. There are implicit assumptions throughout the document that college students would continue to be young, generally homogenous, well-prepared, recent high school graduates who would attend college on a full-time basis.* The organization of California's univeristies has continued to reflect these assumptions (with important exceptions at some CSU campuses) and indeed the student bodies have tended generally to conform to the earlier model. But with the urbanization of the state and rapidly changing demographics, patterns have begun to change significantly: an increasing number of students need to work; many workers are "retooling," coming back to college for a second B.A.; there are more reentry students -- particularly women -- returning to college to finish degrees; more students need to make up course deficiencies or take noncredit remedial offerings, thus taking more years to complete a degree. With such changing patterns, the Commission may wish to address the question of whether the old models and assumptions are still appropriate to the future.

Now taking five or six years to complete a degree, seniors at UC are averaging over 24 years of age at graduation. At CSU, full-time seniors graduate at approximately 26 years of age, while part-time students now graduate at 30 (CPEC, Director's Report, May 1986, pp.25-26). As mentioned in part one, above, CSU students are taking up to 10 years to graduate. Currently, almost 30 percent of CSU's undergraduates are part-time, while the University has approximately a 7-10 percent part-time enrollment. When the Community Colleges are included, California has exactly reversed the national totals by enrolling only 42 percent of its students full-time, and 58 percent part-time (ibid., pp.23-24), although this figure is significantly skewed by the Community College's rate of over 70 percent part-time.

The Commission has reaffirmed the transfer function as one of two central missions for the Community Colleges. Yet as noted in one of the earlier background papers presented to the Commission, "one of the clearest barriers to transfer is the 'full-time' nature of education at the University of California and the California State University." Some 70 percent of Community College students are employed at least thirty-five hours per week, yet there are relatively few options available at the University of California for those who work full-time. The CSU system does much better, but the lack of ability to attend classes on the predominately 8:00-4:00 daytime schedule of many of the public universities is still a serious barrier to transfer (Background Papers: The Challenge of Change, p.41).

There is also the coming change in the ethnicity of the traditional college-age cohort. The large increase in the number of low-income, underrepresented minority students will potentially make significant demands upon the universities' flexibility as many students may have to work. Others -- at least prior to dramatic changes in the public school sector -- will need extended time opportunities in order to make up course deficiencies or pursue remedial requirements. Finally, the aging of the population and the increase in female reentry and various career changes will increase further the demand for part-time educational opportunities. Significant changes have been made -- particularly in the area of child care and the scheduling of some evening programs -- but other changes may be necessary for the future.

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*See, for example, discussion on barriers to higher education -- "lack of incentives, early marriage, military service, financial resources" that afflict "young Californians" (p.77). There is no mention of age, ethnicity, part-time students or sociocultural barriers.

In looking at this issue, it should be noted that there are varying clienteles within higher education and the potential exists for serious competition for limited educational resources. In the future, the majority of the traditional students as defined in terms of age and "full-timers" may very well be today's nontraditional student (i.e., minorities), while the future nontraditional student may tend to be older white students reentering the educational system. The question arises as to the degree to which we should be sensitive to the needs of all potential students given finite resources, organizational patterns within the universities, and political problems that could arise from the diverting of resources from traditional activities. However, not to broaden alternatives for older, part-time and other nontraditional students could seriously inhibit the development of a broadly educated citizenry.

Policy Options

Option 1: Recommend that the public policy of the State of California recognize the needs of a changing student clientele by encouraging California's public four-year institutions to be more responsive to the needs of older, part-time, and other nontraditional students.

Option 2: Recommend that the Board of Trustees of the California State University and the Regents of the University of California determine whether the needs of older, part-time, and other nontraditional students are being met by their respective institutions and, if they are not, establish such programs and support services as deemed necessary or appropriate within the context of each institution or campus.

Option 3: Articulate no state policy and continue to permit both university systems to respond to changing needs as their governing boards best determine.

Response to the needs of a changing student clientele might include extended classroom or administrative hours, alternative counseling or support services operations, or reorganization of some campus functions. There are other possible alternatives including increased telecommunications services allowing students to work from their homes or computer assisted instruction programs allowing students to work on the campus at times convenient to the students. To recommend change would help to encourage a more flexible system responsive to the individual needs of far greater numbers of students in an urbanizing state with dramatically shifting student demographics. There could be negative consequences, however. The cost factor could be significant requiring either further appropriations or a reallocation of resources from other activities.

Issue 4: What public policy should the Commission recommend regarding equal educational opportunity (educational equity) in the California State University and the University of California.

Background

In 1960, the Master Plan was driven by assumptions of a rapidly expanding, homogeneous student population generally white and adequately prepared by the public school system. In response, the Survey Team designed a sophisticated, highly differentiated system remarkably successful in offering broad geographical access and an extensive array of quality programs in meeting the needs of the traditional student population. The Survey Team, however, had virtually no information available regarding the ethnicity of student populations or possible demographic shifts in the future. There was no public concern expressed that very small numbers of minority students might be enrolled. "The Master Plan Survey Team was, in a sense, color blind, insofar as it did not perceive that disproportionate numbers of most ethnic minority groups would be excluded..." (The Challenges Ahead: Issues in Planning, CPEC, p.96).

The Master Plan did not anticipate major changes in the state's ethnic composition, socioeconomic barriers to education within certain communities, or the decade of declining performance in California schools. An underlying notion of the Plan was that ability and motivation would be the chief factors in access and success within the system. As Senior ACE Fellow Harold Hodgkinson has written, this "dream remains a viable one, but after more than 20 years of the 1960 Plan we must look at the reality as well. It is clear today that race, socioeconomic class, and a host of other factors are all of major importance in terms of who participates in higher education, and *at what level*" (California: The State and Its Educational System, p.6; emphasis added). While geographical access may be a reality and while open access to the Community Colleges may offer entry into the system for anyone, the fact remains that further access to the public universities, and thus to the baccalaureate degree *per se*, remains extremely limited for large segments of our population.

At least one-quarter of California's high school students do not complete their high school studies and thus are ineligible for the public universities.* Within this group, the dropout rate for Black and Hispanic youth is over 50 percent greater than for white students. Approximately 33.3 percent of the Black students and 33.9 percent of the Hispanics fail to complete school, compared to roughly 21.9 percent of white students (CPEC, Director's Report, December 1985, pp.1, 26). Not only do these students miss out on higher educational opportunities themselves, their disappearance from the graduation numbers significantly shrinks the pool from which eligible applicants are determined by the public universities.

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*Of course, high school dropouts can become eligible through transfer by entering Community College, completing required course work, and maintaining the acceptable grade point average.

In terms of the eligibility of actual high school graduates, only 3.6 percent of the Black graduates and 4.9 percent of the Hispanic graduates qualify for regular admission to the University of California, compared to 15.5 percent of the white graduates and 26.9 percent of the Asian. At CSU, 10.1 percent Black and 15.3 percent Hispanic qualify, while the figure for whites and Asians are 33.5 percent and 49 percent respectively (CPEC, Director's Report, December 1985, p.6).

To improve the number of underrepresented minorities enrolled in the universities, both CSU and UC have made substantial commitments to special-action admissions programs. At UC, as we noted earlier, approximately 44 percent of the Black freshmen and one-quarter of the Hispanic freshmen are special-action admits. At CSU on the average, 60 percent of Black first-time freshmen and one-third of Hispanic freshmen are enrolled under special-action programs (CPEC, Special Action Admission at California's Public Universities, September 15, 1986, Draft, pp.9, 19). Even with such programs, however, Black and Hispanic enrollments remain quite low. At CSU in the fall of 1985, for example, only 9.6 percent of the total student body was Hispanic while 5.8 percent was Black. At UC, the figures were 7.6 percent Hispanic and 4.2 percent Black (CPEC, Director's Report, May 1986, p.14).

Once admitted, only 40 percent of UC's Black students and 42 percent of its Hispanic students graduate within five years compared to 60 percent of white and 66 percent of Asian students. At CSU, only 14 percent of the Black students and 16 percent of the Hispanic students graduate within five years, compared to 34 percent of both white and Asian students (CPEC, Background for Expanding Educational Equity, p.17).

When all of these facts are taken together -- the high school dropout rate, low college-eligibility rates, lower college graduation rates for underrepresented minorities -- the final picture becomes quite revealing. For every 1,000 Blacks or Hispanics entering high school in California, just 16 Blacks and 14 Hispanics will receive degrees from CSU or UC within five years after graduation of their high school class. For whites and Asians, the figures are 56 and 176 respectively. Several others of each group will receive degrees later. Of course some will also be educated in various private institutions -- particularly in California where the independent colleges now enroll approximately 15 percent minority students. But even when the private institutions are taken into account, the problem for California in educating its citizenry remains acute. As David Saxon noted in referring to the issue on his retirement as President of the University of California:

> By the end of this Century, California is likely to become the first state in the nation whose population is made up predominantly of members of minority groups... Intelligent self-interest, the welfare of the nation and justice all demand that we do something to make sure that the young people of the state are qualified for an education at the University of California. (Cited in California, The State and Its Educational System, p.6).

Issue Elaboration

For many, educational equity issues are thought of in terms of affirmative action programs. But, in its broadest sense, educational equity -- equality of educational opportunity -- encompasses an entire spectrum of relationships, attitudes, and programs of which affirmative action projects are merely discrete parts.

In undergraduate education, affirmative action is generally seen as the alteration or expansion of various entrance eligibility criteria coupled with a few special programs in an attempt to compensate for prior socioeconomic or educational disadvantages. As we have seen, such approaches by themselves have not significantly altered attendance and graduation rates in our public universities. Educational equity, on the other hand, includes the issues of prior preparation, access, retention, faculty-student relationships, support services, and prevalent institutional assumptions and attitudes (e.g., the deficit model v. more positive views of nontraditional students). Educational equity requires changes in the larger institutional environments without which traditional affirmative action programs are generally relegated to failure.

In the last several years, considerable state attention has been focused on the issue of educational equity. In 1974, ACR 151 (Hughes) called upon the three public segments of higher education to "prepare a plan that will provide for addressing and overcoming by 1980, ethnic, sexual, and economic underrepresentation in the makeup of student bodies of institutions of public higher education." ACR 83 (Chacon) in 1984 reaffirmed the objectives of ACR 151 and requested that the State's educational agencies cooperatively adopt plans and recommendations regarding the preparation and support services for low-income and underrepresented minority youth so that enrollment in and completion of postsecondary education would more adequately reflect the ethnic and income composition of the State. In so doing, the Legislature recognized the "*comprehensive institutional efforts coordinating all existing school and campus resources*" that would be necessary for success in equity efforts (emphasis added).

Since 1970, CSU and UC have developed over 30 programs in attempting to address the situation, spending many millions of dollars in the process. At CSU, for example, it has been estimated that the system spent over $70 million in equity efforts from 1980-85 (*Educational Equity in the California State University -- Which Way the Future*, p.1), while Chancellor Reynolds has recently written that current expenditures now total $30 million yearly ("Keys to Degrees: Minority Students will Gain from State University System Changes," San Jose Mercury News, August 15, 1986). Yet the percentages of underrepresented ethnic minorities are still extremely low in each segment.

In its ACR 83 language calling for comprehensive institutional efforts coordinating all existing resources, the Legislature was in part acknowledging that the current array of *ad hoc* programs was simply not achieving adequate results.* For several years in various studies, CPEC had been critical of the ad hoc, uncoordinated nature of equal opportunity programs, noting that it was difficult to even evaluate the effectiveness of so many disparate entities. In 1982, for example, CPEC had told the Legislature that while more money was being asked for equity efforts, the major imperative was to use existing resources more effectively, with far more extensive evaluation of programs so that more successful efforts could be imitated, unsuccessful programs dropped, and unnecessary duplication eliminated (Equal Educational Opportunity in California, Part IV, p.35). In early 1983, CPEC commented on the "uneven knowledge about the operations and effectiveness of several equal educational opportunity programs," and recommended that CSU and UC consolidate on each campus all "existing student affirmative action programs, educational opportunity programs," and other appropriate programs and services" (Commission Staff Comments, pp.24, 28). In supplemental language to the 83-84 budget, the two systems were then requested by the Legislature to do so.

In early 1985, the CSU Chancellor took a noteworthy step in confronting equity issues by appointing a prestigious Educational Equity Advisory Council charged with reviewing the history, scope, and effectiveness of CSU educational equity programs and recommending appropriate policy for the future. The Council -- chaired by a system-wide Vice Chancellor, and including the Presidents of the San Luis Obispo, Fullerton, and San Bernadino campuses -- recently has issued a comprehensive report remarkable for its candor and willingness to self-critically evaluate institutional shortcomings. The Council concluded that CSU has "been far less than successful in achieving equity to the fullest extent possible." They said, "The California State University's institutional approach to the issues of educational equity has, at best, been ad hoc and some would say, at worst, dysfuntional;" and argued that "viewed in a realistic context, the CSU has defaulted on its institutional responsibilities to ethnic minority students ...(and) has come dangerously close to officially sanctioning what can best be described as separate and unequal educational opportunities..." (Educational Equity in the California State University -- Which Way the Future?, pp.1, 10). The Council acknowledged that in the long term, of course, educational equity and increased participation rates would depend on improvements in the public school system, increased high school graduation rates, and Community College transfer. But in the interim, they argued, postsecondary educational institutions "must take all feasible steps to stop the decline of higher education participation rates for ethnic minorities" (p.2), and asserted that CSU was not doing so.

The central thrust of the Council's report was that although CSU was engaging in many equity activities, most of the programs were peripheral, ad hoc, add-on efforts, without central institutional organization, commitment, or accountability, and with the fundamental and pervasive problem being the "lack of a sustaining educational rationale" (p.3). They went on to say that for the most part it was clear that "educational equity programs in the CSU are and historically have been crisis-reactive efforts which seldom have benefitted from or enjoyed the support and involvement of regular student services programs or a majority of the system's faculty or students. Moreover, such programs have tended to take on a social welfare coloration, that is, doing something for the poor and unqualified minority students" (p.3). The Equity Council argued that CSU and other systems should "cease perpetuating the notion that there are two agendas for higher education, one for the educationally disadvantaged and one for the nondisadvantaged... educational equity (efforts) must be integral to the mission of the California State University" (p.2).

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*The lack of coordination between programs and their ad hoc, peripheral nature derive originally from many factors: federal and state funding patterns which established the programs as separate entities, institutional assumptions (particularly among the faculty) that nontraditional students were someone else's concern, specific academic needs which required specific responses at a particular time, etc.

In developing their arguments for the institutionalization of commitment and responsibility in the equity effort, the Equity Council cited numerous examples of the problems arising from the peripheral nature of most equity programs. In the 1983-84 budget language, as discussed above, the Legislature had required CSU and UC to consolidate their Student Affirmative Action, Educational Opportunity, and other equity programs and services. Generally, the Council concluded, "CSU has failed to be fully responsive... In the main, the results of nearly a year of planning for program consolidation is a continuation of categorical, *ad hoc*, and generally uncoordinated efforts which will not be responsive to demographic changes in student clientele over the next twenty years" (p.16). Similarly, the Equity Council demonstrated that the "CSU is unable to respond fully to ACR 83 or other legislative requests for plans because neither at a system or campus level do up-to-date comprehensive plans exist" (p.32).

The Council offers many recommendations including making issues of educational equity integral to the mission of CSU; adherence to a new CSU policy on outreach emphasizing increased use of campus mission and goals statements in developing outreach programs (p.18); redefining, restructuring, and bringing closely together both traditional (e.g., admissions, financial aid, relations with schools, etc.) and nontraditional (e.g., EOP, SAA, etc.) outreach/access functions to form a tightly coordinated approach to issues (pp.21-23); and a serious attempt to involve all faculty in the retention of ethnic minority students (p.28).

The timeliness, detail, and openness of the Equity Council's recent report has made it particularly convenient here to focus on CSU in elaborating on the above problems. However, there is reason to believe that the critique is equally valid to UC and to a lesser extent true at the Community Colleges as well.

At UC, the founders of Oakes College -- an experimental college on the Santa Cruz campus which had considerable success in the 1970's and early 1980's in recruiting and graduating underrepresented minority students -- recently completed a detailed manuscript analyzing their experiences in which they argue forcefully that many of UC's difficulties in attracting and retaining nontraditional students stem precisely from the same lack of central institutional commitment as outlined in the CSU equity study. Equity programs at UC are also peripheral and *ad hoc*, and nontraditional students "clearly understand that their concerns are not considered part of what the institution is *really* about" (*An Academic Tragedy*, Chapter 12). As to the Community Colleges, indications of the same kinds of problems, at least at some campuses, can be seen in a recent study by Education Evaluation Associates evaluating EOPS for the Chancellor's Office. The analysis specifically points to the problems EOPS programs face when they are peripherally defined and situated, administratively isolated, and uncoordinated with other campus efforts (EOPS Operational Program Review: 1984-1985, Chapter 4).

In recent interviews, the Chairman of CSU's Educational Equity Advisory Council has had opportunity to reflect on the Council's equity report and recommended changes. In commenting on a new model program at CSU Northridge, the Chairman noted that responsibility for minority recruitment was being shifted to faculty members and top administrators, and away from specialized offices such as Student Affirmative Action projects and Equal Opportunity Programs. "Educational equity ought to be an institutional responsiblity rather than a program responsibility... Under the new program we will hold the entire campus accountable... The intent is to make minority participation a part of the whole university rather than maintaining (minority programs) as separate islands off to themselves" ("San Jose Mercury News" September 25, 1986).

Ultimately, educational equity and the institutionalization of responsibility referred to above are concerns far broader than the discrete issue of student retention. Educational equity includes not only the issues of access and retention, but also issues of faculty recruitment and development, the universities' relationships to the public schools, graduate education, curricular issues, and the prevailing assumptions and attitudes of all those responsible for the higher education enterprise. Since educational equity issues will continue to arise in numerous other papers presented to the Commission we present no options here. Rather, the larger issue of institutional responsibility for all equity efforts will come back to the Commission in the draft of the Master Plan.

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ISSUE PAPER NO. 6

FACULTY RESOURCES IN CALIFORNIA'S POSTSECONDARY EDUCATIONAL INSTITUTIONS: RECRUITMENT; TEMPORARY EMPLOYMENT; TENURE; EVALUATION AND REWARD; DEVELOPMENT

Introduction

In 1960, one challenge addressed by the Master Plan was the management of growth in numbers of students, faculty, and programs. A major challenge facing California postsecondary education now and through the year 2000, is how to plan new ways to support excellence and encourage diversity among faculty, professional staff, and executive leadership. Recruitment of high-quality faculty and staff, affirmative action, temporary employment, tenure, evaluation, reward systems, and faculty development are key issues to be considered toward meeting this challenge.

Issue 1: **What public policy should the Commission recommend to ensure an adequate supply of high-quality and diverse faculty and professional staff in California's postsecondary institutions?**

Background

The 1960 Master Plan addressed several issues related to demand and supply of qualified faculty, concluding:

> Whatever the studies indicate, one must keep in mind that the shortage of college teachers is one of the most critical shortages facing the United States today, and California, because of its rapid population growth, must have a recruitment climate which will not only compare favorably with that of other states, but will take into account the fact that California must recruit in excess of 50,000 new faculty members for its colleges and universities in the next 17 years (p.118).

To meet the demand for the large number of new faculty, the original Master Plan recommended that:

- greater effort be made to encourage more college graduates to pursue post-baccalaureate training for careers in college and university teaching;
- more financial assistance be made available to those in graduate training;
- faculty salaries and fringe benefits be improved to make college and university teaching careers attractive as compared with business and industry;

- o California trained Ph.D.s be used to fill the immediate need for teachers;
- o greater opportunities for faculty in-service preparation and self-improvement be established;
- o master's degree programs be strengthened to more effectively prepare future faculty members;
- o doctoral programs be given focus to ensure both scholarship and scholarly teaching skill;
- o data on faculty demand and supply be collected from all segments of higher education.

This list is still important today, although issues of personnel supply, demand, and recruitment are somewhat different then they were in the 1960s. Student enrollment growth is expected after the mid 1990s, but that cannot be equated with the rapid growth of the 1960s. The California Department of Finance projects slight enrollment declines at the undergraduate level for the University and the State University through 1996 and then increasing thereafter (CSU, 1986 Projections Series; 1986 UC Projections, General Campus).* The resulting fluctuations in demand for faculty, combined with the effects of enrollment shifts from the arts and sciences to applied programs in business, communications, and computer science, present new challenges for planning.

The next 15 years will be different from the past 15 years. Starting about the mid-1990s growth in enrollments and faculty turnover will trigger greater demand for faculty -- both in California and nationwide. Demographers predict an undergraduate enrollment increase when the children of the baby-boom generation come to college age, beginning around 1995. Nationwide, over one-third of existing faculty will have to be replaced by the end of this century due to retirement and attrition. As enrollments rise, so will retirements and vacancies. Replacement needs will thus accelerate. Providing competent faculty to meet this anticipated demand has been recognized as a problem.

Although California differs from the United States as a whole in demographic trends, and social and economic patterns, it is expected that at least some of the state's institutions will experience the same steady state enrollment followed by rapid student increase and faculty retirement projected for the nation. As Background Paper Number Seven discussed, in California's public postsecondary institutions 50 percent or more of the faculty are over 46 years of age. At both the University and the State University, the average age of the faculty is roughly 50.5, while in the Community Colleges the average is 48. As a result, there is today a large "bulge" of faculty members in their forties and fifties who will be retiring in greater numbers after the mid 1990s.

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*Projections by the University of California do not show this pattern. UC projects a steady growth in its undergraduate enrollments through the year 2000 (Graduate Enrollment Planning, 1985-86 Through 2000-01, Office of the President, Oct. 1986).

Issue Elaboration

Several issues related to faculty recruitment are created by present conditions and future prospects. These issues consist of (1) supply and demand, (2) quality, and (3) affirmative action.

Faculty Supply and Demand

At the University of California, the Office of the President and the campuses have been focusing attention on the pattern of student enrollment and faculty retirement as part of their long range planning currently underway for the period 1985 through the year 2000. Studies in 1979 initially revealed that there would be relatively few retirements and relatively little faculty turnover, as well as little enrollment growth during the 1980s. The most recent projections, however, show that enrollment growth is continuing and that retirement will follow shortly. While further study is underway to refine the projections, the University reports that:

> 40 percent or about 3,000 of the University's ladder rank faculty, will retire by the year 2000 (assuming that faculty continue to retire, on average, at age 65). When other separations and the planned overall enrollment growth of 32,000 undergraduate, post-baccalaureate credential, and graduate students are considered in addition, another 3,000 faculty will be needed. To fill the nearly 6,000 projected vacancies, the University will need to hire slightly more than 400 faculty per year between now and 2000, compared to the current pattern of fewer than 300 hires per year ("Graduate Enrollment Planning, 1985-86 Through 2000-01" Office of the President, Oct. 1986, p.8).

The California State University has also conducted studies projecting faculty supply and demand to the year 2000. CSU's summary report based on a faculty flow simulation model states:

1. The CSU can expect to hire about 8,000 new tenure-track faculty between 1985 and 2000. In 1985, the system employed roughly 11,500 tenure-track faculty.

2. Forty-one percent of these recruitments will occur between 1995 and 2000.

3. The projected average of 533 recruitments per year for the next 15 years represents a 54 percent increase in the annual number of new hires compared to the last ten years.

4. Recruitments in the Humanities, Engineering, and Computer Science will be stronger between 1986-1990. Recruitments in the Social Sciences will be extremely heavy between 1995 and 2000 (Memorandum, August 27, 1986, p.2).

In planning for faculty recruitment, several factors need to be considered. First, taken as a whole, the graduate schools nationwide enroll enough Ph.D. candidates for the faculty needs of the future. In 1984, the total graduate enrollment was 1.37 million and 31,253 received Ph.D. degrees. However, the gap between prospective supply and actual demand for academic positions may vary by academic field. By the mid 1990s, there may still be enough Ph.D.s in terms of numbers, but the current market may have distorted the fields in which they are available.

Second, the current low demand for new faculty in some institutions is partly related to the large existing cohort of predominately white male aging faculty members who were hired during the 1960s and early 1970s. In recent years, institutions have developed attractive options for early retirement or reduced service that enable those who wish to do so to leave tenured positions before the mandatory age. Early retirement may help relieve a budgetary squeeze by permitting the replacement of relatively high-salaried tenured faculty with younger faculty at lower salaries, and may be a means of enabling an institution to shift tenure positions and hire new and younger faculty. Unfortunately, these efforts have not been altogether successful, mainly because increased longevity and the rising costs of living negate much of the appeal of early retirement for the senior faculty members.*

Third, higher education institutions may consider recruiting some of their personnel from alternate sources of supply. University departments have traditionally provided most faculty and staff for colleges and universities. The question is whether other sources of supply such as government, industry, the arts, and professions can be tapped in an effort to recruit individuals with talent and unusual experience for permanent positions.

Quality

Under prevailing academic labor market conditions, the supply of well-trained would-be professors considerably exceed current demand. The result is that academic institutions have been able to hire, by their standards, excellent faculty. However, a recent national survey found that the present market conditions in higher education serve as disincentives to many potential professors. As they perceive it, "after many years of advanced study, getting a suitable job will be highly uncertain, and even if a job is found, the chance of advancement to tenure and up through the ranks will be problematical" (Bowen and Schuster, 1986, p.272). Many university officials worry that they will have trouble attracting the brightest members of a generation who may be diverted by this perception to other professions and high-technology. Accordingly, higher education may be heading into an unprecedented competititon for the best talent.

Affirmative Action

In a 1981 report, The Challenges Ahead, CPEC stated that the results of affirmative action for California's higher education faculty up to that time were similar to the rest of the country -- a record of some success and some setbacks. In 1983-84, the University of California undertook a study of academic affirmative action and concluded that progress, although steady, had been impeded by insufficient availability of qualified minorities and women for faculty appointment. Today, any progress toward increasing minority faculty members in particular seems to have come to a halt on many campuses. The late 1990s present a window of opportunity to recruit more minority faculty because of the large faculty turnover anticipated. But this cannot happen unless significant and immediate increases occur in the number of minorities in Ph.D. programs.

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*A recent bill was sent to the President for signature that would eliminate (effective 1994) any age restriction in faculty employment.

Minority Recruitment

One of the key problems in diversifying faculty is attracting an able and diverse population into graduate programs and then into academic careers. When we look at the potential pool of applicants for the near future -- the graduate students who are now entering doctoral programs -- certain minority groups remain underrepresented. In 1984, 88.8 percent of the recipients of doctorates in the country were white, 4.3 percent were Black, 4.3 percent Asian, 2.5 percent Hispanic, and 0.3 percent "other," according to the National Research Council. In 1984-85, doctorate recipients at the University of California represented 85.3 percent white, 1.7 percent Black, 8.9 percent Asian, and 3.5 percent Hispanic. Doctorate recipients from California's accredited independent institutions in 1983-84 represented 88.8 percent white, 2.7 percent Black, 4.6 percent Asian, and 3.2 percent Hispanic.*

Moreover, of those degrees awarded to Blacks and Hispanics, few were in the natural or physical sciences; and more than half of the degrees were earned in education, creating a concentration rather than a general diversity of candidates. At the University of California, underrepresented minorities constitute only 4.5 percent of total graduate enrollment in the physical sciences and only 3.5 percent of total graduate enrollment in engineering. Although the California State University hired almost 3,500 new tenure-track faculty during the past decade, more than one-half were in technical fields and business where minorities tended to be underrepresented among potential recruits.

Recruitment of Women

While many women are now earning advanced degrees, their representation among faculty and administrators is still measurably lower than males (see Background Paper #7). Nationwide, the number of women receiving doctorate degrees increased by 72 percent between 1972-73 and 1982-83 (from 6,085 to 10,485) and women represented 34 percent of 1983 doctorate recipients, while in 1978 they represented only 27 percent. The number of doctorates awarded to women has been increasing in almost every field, although male doctorate recipients still outnumber females by a ratio of 21 to 1 in engineering, 6 to 1 in physical sciences, 2.5 to 1 in professional fields, and 2 to 1 in the life sciences. In 1983, for the first time in any major field, the number of doctorates in education awarded to women (3,604) exceeded the number awarded to men (3,543) (Higher Education and National Affairs, Feb. 1985). In addition to education, fields of growth for women have been health sciences, psychology, and language and literature. In fact, women now earn 50 percent or more of the doctoral degrees in those fields (Chronicle for Higher Education, Sept. 10, 1986). As a result, no one group in the academic community has more potential for recruitment today than young female scholars.

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*It may be noted that California's accredited independent institutions produced approximately 70 percent of all minority doctorates in 1983-84.

Policy Options

Option 1: Recommend no public policy intervention into the forces of the employment market on the supply of academic personnel.

This option is an affirmation of the free-market philosophy that supply is created by demand and supressed when demand falls off. One might argue in favor of this policy for several reasons. First, the academic marketplace has produced in the past the highest quality faculty and administrators. Second, with good information and effective forecasting, institutions are able to make adjustments to shifts in the market. Third, the market may be the most effective and least expensive way to ensure a sufficient supply of quality faculty and staff for the future.

However, there are potential pitfalls to this approach. First, the ability of certain academic fields to respond to market forces is questionable, as is the wisdom of allowing them to do so. While such fields as economics, engineering, and some physical sciences may respond relatively well to market forces, there are other fields, such as those in the humanities, which are less market responsive. In fact, it could be argued such fields should not respond solely to student demand because regardless of enrollments they are critical to the advancement of knowledge. Second, it is not obvious among academic institutions that they are able to effectively react to market forces by adjusting incentives in order to compete with nonacademic professions. One example is the increased demand for engineering in recent years. When differential salaries were proposed as incentives, the Legislature had to intervene because of objections raised by faculty unions. Third, it may take too long to respond to a demand -- when the supply finally becomes available the demand may have changed. Fourth, there are societal needs, such as increased diversity, that may not be served through nonintervention.

Option 2: Recommend that the state support long-range planning for faculty and administrator recruitment and development to enhance quality and California's competitive posture with other states. Strategies may include the following:

2.1 Expand state fellowships for graduate students.

2.2 Make faculty appointments of young scholars where there is insufficient current enrollment but future demand is anticipated.

2.3 Provide research and/or teaching support for young scholars to attract and retain an excellent faculty for the future.

2.4 Support faculty and staff development (see Issue 5).

This option, which calls for state intervention in the market place, would create a comprehensive approach for strengthening California's faculties over the next several decades. The scale of the program and its components would depend on determined need and resources, but could also be implemented in conjunction with the operation of the academic market (Option 1). When and where the academic market creates problems or distortions for higher education, these components would facilitate the necessary recruitment and ensure the quality of faculty and administrators.

Currently, the Graduate Fellowship program provides grants to qualified students in order to cover a portion of the tuition and fees for graduate study. Approximately 870 new and renewal awards of up to $6,180 were granted in 1986-87. Option 2.1 would provide additional state fellowships for outstanding men and women who wish to prepare for faculty careers in the arts and sciences. Identification of talented undergraduates would be made perhaps in their junior year and a sizeable number of seniors would be awarded fellowships for graduate study in a participating graduate institution.

2.2 would enable an academic department to recruit a junior faculty member even though current enrollment is insufficient to justify adding an additional faculty member. However, recruitment of a junior faculty member would correspond with the anticipated retirement of a senior faculty member. The objective would be to help revitalize academic departments whose members have been growing older without the infusion of younger colleagues. Unless enough faculty positions continue to be available for new appointments, the state's postsecondary institutions may run the risk of creating a static teaching, learning, and scholarship environment.

2.3 would provide grants to assist promising young scholar-teachers to carry on important research or other scholarly and creative work. The grants would allow release time from regular duties so that the young faculty member can conduct research or devise new curricula or courses.

This option for early intervention is based on the sense that California will be faced with an increasing demand for faculty and administrators and that it may not be able to recruit able people for those positions. However, it may be argued that the projected numbers needed by the year 2000 do not indicate that the state will be confronted with an urgent crisis requiring extraordinary efforts. California may well be able to continue to attract and recruit the best and brightest without incurring the costs that may be involved in Option 2. Moreover, not enough is known about the extent to which future labor market conditions, both inside and outside academe, will affect the supply and demand of faculty. The cost of supporting what some would term "unknown future needs" must be weighed against alternative uses of funds and against the cost of relying on the academic market to provide the personnel needs for the state.

Option 3: Recommend that the governing boards of the University, the State University, and the Community Colleges implement multiple strategies for recruiting and appointing permanent faculty and staff. These strategies may include:

3.1 Recruitment and appointment of permanent faculty and professional staff from alternate sources of supply.

3.2 Expand opportunities for faculty time reduction.

3.3 Grant split appointments, when appropriate, among the institutions.

Option 3.1 would encourage recruitment from alternative sources of supply. Persons working in government agencies, business, industry, the arts, and other professions are a potentially valuable pool of talent for some disciplines and professional areas in higher education.

3.2 would enable faculty to retain a ladder-rank position, working half-time, at half-salary, in return for release time to consult. The advantage of this strategy is that with several faculty members under such an arrangement, full-time positions for junior faculty would become available.

3.3 would encourage a strategy whereby several institutions lacking sufficient funds could pool their resources to hire a full-time person.

However, these alternatives may provide little help in the general academic marketplace and may be of limited value in attempting to solve other problems in higher education. For example, while there are growing numbers of persons employed in nonacademic settings who might well be attracted to academic positions, their nonacademic work experience may not necessarily prepare them for academic teaching and research. Faculty time reduction may well exacerbate current problems in faculty and student relationships and commitment to teaching. Split appointments may create problems in scheduling between departments and institutions and may well institutionalize the so called "freeway flyer."

Option 4: Recommend that the state encourage and support existing goals and programs for faculty and staff recruitment and affirmative action in the University, State University, and Community Colleges and hold the governing boards accountable for their achievement.

Currently, the University of California and the California State University administer several recruitment and affirmative action development programs for faculty and management, but leave each campus considerable flexibility in designing specific programs for specific needs.

Recruiting programs in the Community Colleges are diverse, but all include attempts to identify underrepresented candidates. Many of these programs have been somewhat more successful than in the four-year institutions.

In *The Challenge of Change*, the Commission stated that the "Community Colleges should recruit faculty and administrators who approximate the mix of ethnic and gender of the communities they serve and who meet the highest professional standards" (p. 13). To achieve this goal the Commission recommended:

> 36. That the Board of Governors prepare a plan for strengthening Community College faculty and staff affirmative action policies and programs and monitor and publish the results by college. The plan should include clear lines of district accountability for its success and ensure participation in and commitment to effective affirmative action by district trustees, administrators, and faculty alike.

Policy Option 4 anticipates no new programs (except for the recommendation made in *The Challenge of Change*) nor elimination of any existing programs. However, it would place the major responsibility for affirmative action on the governing boards.

Option 5: *Recommend that the University, State University, and Community Colleges cooperate in establishing a statewide program for early identification, recruitment, and training of minority and women students to increase their availability for faculty and administrative positions, and recommend that the governing boards be accountable for its success.*

Option 5 calls for state support for affirmative action efforts beyond current efforts and programs. It recognizes that current affirmative action results heretofore have not been encouraging despite substantial efforts in responding to the problem of attracting, training, and hiring an adequate number of qualified minorities and women to academic careers. Adequate advances will not be forthcoming without a major new commitment by the state.

This option would establish a statewide strategy designed to facilitate the early identification, recruitment, training, and placement of talented minority and women students who are interested in and suited to academic careers, and would involve the cooperation of all postsecondary education segments in the state. This strategy is grounded in three interconnected policy arenas: (1) the supply of academic talent (the "pipeline"), (2) institutional (campuses and systemwide) responsibility for access and retention of minorities and women in graduate programs, (3) adequate financial support throughout the various stages from undergraduate to appointment.

A key characteristic of the program would be its "pipeline" nature -- i.e., its early identification and retention of minority and women candidates from beginning to end. It would provide resources to institutions for active recruitment, training, and the financial support necessary to bring these individuals into academic careers, particularly in disciplines in which they are underrepresented. The cooperation of postsecondary institutions is central to this program. Increasing the pool of minorities and women for potential faculty and professional staff requires a coordinated approach, making formal connections between the different segments and levels of education. Information about the program would be used in outreach activities with secondary schools.

Issue 2: What public policy should the Commission recommend regarding temporary (part-time and full-time) faculty?*

Background

The 1960 Master Plan said nothing about temporary faculty as opposed to full-time permanent faculty, because in the context of student enrollment growth, appointments of faculty were assumed to be full-time and permanent. By the mid 1970s, however, the nature of many institutions' clients began to change. In the State University and the Community Colleges in particular, the new students were older, more frequently part-time, and often found it necessary to schedule their learning around full- or part-time employment. Many institutions responded by developing new class schedules, new structures and increased effort. It is in this context of institutional response to new demands, enrollment shifts, and financial constraints that the use of part-time and full-time temporary faculty has become an issue of increasing interest and concern.

Temporary faculty appointments are made for a variety of reasons, and as a result, these faculty members comprise a heterogeneous group. Usually these appointments are made to fill temporary and definable needs within a department such as (1) replacement for regular faculty who have assignments either on or off campus, (2) faculty early retirement replacements, (3) inability to fill a position because of lack of qualified applicants, (4) assignments to teach remedial and basic courses, (5) unavailable tenure-track positions, (6) the need for special/unique expertise, and (7) hiring of graduate students to teach lab classes. As institutions have sought to fill these temporary needs, corresponding categories of nonpermanent faculty members can be found. These categories consist of (a) those who choose to share their special expertise on a limited teaching load basis, and have no desire to become permanent, (b) persons who engage in what is commonly termed "moonlighting" --those who have full-time employment but teach additional courses elsewhere, (c) persons who become part-time faculty at several educational institutions in an attempt to put together an adequate income, and (d) individuals who are, in fact, full-time on one campus but are never put on probationary tenure-track. Most agree that it is in the last two categories where most (but not all) of the temporary faculty concerns arise. (see "CSU Academic Senate Committee to Study the Educational Implications of the Use of Lectures in the CSU" May 1986).

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*In general, faculty appointments are either permanent (probationary or tenured) or temporary (full-time or part-time). Unlike permanent appointments which continue from year to year, temporary appointments typically terminate at the end of a given term or academic year. With respect to Issue 2, the definition of temporary faculty excludes those on tenure track or tenured, and those with security of employment. This definition also excludes full-time permanent faculty who are teaching an overload and graduate assistants who are teaching part-time in the department where they are also pursuing a graduate degree.

While global generalizations about temporary faculty may not be valid, one characteristic is that they tend to be younger and less experienced, and more often female than are permanent full-time faculty. A common theme found in national surveys is that a significant number of temporary faculty do not feel part of their departments. In general, an institution that has as its mission a more applied orientation will have more temporary faculty than a campus with a strong liberal arts orientation. Institutions in more urban environments will also tend to make more temporary appointments to take advantage of local resources.

A University of California, President's Office policy requires that campuses reserve 10 percent of their total number of available faculty positions to ensure flexibility to meet new program demands and shifts in enrollments. Approximately 40 percent of the University's temporary faculty is hired for new program demands, enrollment shifts, and replacements for faculty on sabbaticals or academically-related leaves. In any given year, the faculty of the University is composed of approximately 34 percent temporary faculty, some of whom play a role in the lower division curriculum (Lower Division Education in the University of California, 1986, pp.13-14).

The use of temporary faculty in the State University has risen within the last fifteen years. From 1972 to 1986 the percent of tenured faculty has risen from 41.7 to 47.6 percent. During the same period the probationary faculty decreased sharply from 24.1 percent to 8 percent. During that period of time the temporary faculty increased from 34.2 percent to 39.4 percent.

In the Community Colleges, the number of part-time faculty has decreased from its recent peak in 1981, although the number continues to fluctuate due to shifts in enrollments. In 1986, part-time faculty accounted for an estimated 35 percent of the weekly faculty-student contact hours.

In The Challenge of Change, the Commission concluded that personnel policies for the Community Colleges must encourage institutional flexibility and educational quality, and that employment of part-time faculty may be desirable to meet unanticipated growth, teach evening classes, staff specialized programs, and provide special skills not otherwise available. To ensure quality, the Commission recommended that the colleges require part-time faculty to be available to students and to participate in curricular development in much the same manner as full-time faculty. To achieve this the Commission recommended that the Legislature authorize Community College districts to employ those part-time faculty who teach six units or more on a contractual basis. (See recommendations 37, 38, and 39 in The Challenge of Change.)

Issue Elaboration

Issues relating to the use of temporary faculty have been of particular concern during the last decade in California. The main question is how part-time temporary faculty influence the quality of education. There are at least two general views.

There is general agreement that higher education institutions need temporary faculty. Temporary appointments are usually less expensive than permanent appointments and may be justified by budget limitations. Campuses and individual departments also need to respond to staffing challenges and to provide certain courses that require limited special experise. In fact, supporters of the use of special experts have argued that their programs would be seriously jeopardized if they could not staff many of their positions with temporary faculty.

Others, however, have raised questions regarding what they would call an "excessive" use of temporary, particularly part-time, faculty. They argue that budget constraints are used to justify not hiring probationary tenure-track faculty. If faculty who retire are replaced by part-time faculty to save costs, the result may be a reduction of a core of tenured faculty and this will have a consequent impact on advising, governance, and curricular responsibilities for the remaining tenured faculty, since part-time faculty are not normally required to carry out those roles. It is argued that this potential development may lead to a decrease in the educational quality of the departments.

Policy Options

The range of policy options that the Commission may wish to consider in dealing with the use of temporary and part-time faculty for the University and the State University include the following. (The Commission has already acted on this issue with respect to the Community Colleges.)

Option 1: Make no recommendation regarding current University and State University policies and practices.

Option 2: Recommend that the Regents of the University and the Trustees of the State University limit or reduce the use of temporary and part-time faculty and, wherever possible, convert those positions to full-time tenure-track positions.

The current pratice of using temporary and part-time faculty raises several issues. First is the lack of coordinated policy regarding such appointments and whether state intervention to set policy is needed. To date, temporary/part-time appointments have been used in the name of "flexibility" without much concerted effort to determine if the appointments are negatively influencing the faculty and the quality of instruction as a whole. The question is whether flexibility is sufficient justification to take this risk.

Second is the issue of the influence of "part-timeness" on student experience and educational quality. Under current conditions, part-time faculty spend few hours with students. Research shows that faculty/student contact, especially where classrooms are large -- such as in many undergraduate courses -- can be a key factor in student success.

Third is the issue of commitment to serious scholarship and imaginative teaching and whether this commitment can be expected from a person who has other pursuits beyond teaching.

Option 3: Recommend that the governing boards of the University and the State University expand the duties of part-time faculty and implement procedures for evaluating their teaching effectiveness.

Temporary faculty need to be accepted and recognized as valuable parts of the entire academic community. They contribute directly to teaching and indirectly to the research efforts at many institutions. Often, temporary faculty provide special qualifications, professional maturity, and field experience that career academics lack and that are a stimulating complement to academic programs. At the same time, however, a significant number of temporary faculty feel that they are not accepted as equals.

This option would encourage institutions to expand the participation of temporary faculty to include other duties such as student advising and curriculum development in addition to classroom instruction and to develop thorough and systematic procedures for evaluating their performance.

Option 4: Recommend that the Regents of the University and the Trustees of the State University periodically review their policies and practices regarding the use and status of temporary and part-time faculty.

This option would require the University and the State University to undertake periodic systematic reviews of their personnel policies and practices regarding temporary and part-time faculty. These reviews would ensure that a proper balance of permanent and temporary faculty is maintained and serves the best interests of institutional curricular needs and academic excellence.

Issue 3: What public policy should the Commission recommend regarding tenure appointment?

Background

The 1960 Master Plan said nothing about tenure or alternatives to tenure-track appointments. In the context of exploding enrollment growth, appointments of personnel were assumed to be permanent. By the mid 1970s, however, many postsecondary institutions began to experience fiscal problems. As a result, alternatives to tenure-track appointments became a matter of increasing interest and concern in postsecondary eduation. More recently, Congress's decision to uncap the mandatory retirement age will force institutions to look at the whole tenure system. Underlying traditional tenure agreements have been the expectation that there would be a fixed retirement date -- some way out of the system. The end of mandatory retirement at 70, however, will raise questions about that initial tenure offer.

There is no uniform tenure system in American higher education. A very few institutions have no system of tenure at all, and the faculty serve under contract arrangements.* Some have de facto tenure policies, developed through practice and custom but never written down. Other institutions have highly detailed policies with elaborate notice requirements, and some simply endorse the AAUP tenure policies or guidelines.**

Nationwide, according to a recent study (Bowen and Schuster, p.45), 50-55 percent of full-time faculty were tenured in the 1960s. By 1980, the percentage had risen to 63-68 percent, and today, over 70 percent of the full-time faculty is estimated to be tenured. The same study found that there are differences in tenure percentages among different types of institutions. Research universities usually reserve tenure for the upper ranks, whereas four-year institutions occasionally grant tenure to persons in the lower ranks. In two-year public institutions virtually every professor is granted tenure after a brief probationary period. At the University and State University, approximately 85 percent of the tenure track (ladder rank) faculty were tenured in 1985.

There are several elements in a tenure system. First, tenure protects the right of the faculty to exercise academic freedom -- that is independent research and autonomy of thought and action. The principle of academic freedom is considered fundamental to the health of the academic community and tenure was established as a protection against retaliatory or punitive action taken to stifle controversial pursuits. Second, tenure represents a kind of communal acceptance in the professorial guild. Third, tenure is a means of providing job security to promote institutional stability and loyalty and reward individual service and accomplishments. Fourth, tenure may be annulled in cases of serious malfeasance (demonstrated by due process) on the part of individual professors or in cases of financial exigency on the part of institutions.

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*For example, Evergreen State College, Washington, usually grants three-year contracts to its faculty members. A portfolio containing examples and descritions of the faculty member's work is maintained for use in evaluating performance. A favorable evaluation leads to a new three year contract; an unfavorable evaluation leads to a notice of nonrenewal one year in advance of the expiration of the contract.

**In 1940, the Statement of Principles on Academic Freedom and Tenure was developed by the Association of American Colleges and the American Association of Univeristy Professors. The statement of principles is not a prescription; it was designed to provide guidance to institutions.

At the University of California, appointments to the position of Professor and Associate Professor are continuous in tenure until terminated by retirement, demotion or dismissal. Appointments in the professor series are for duty in departments of instruction and research or in equivalent administrative units (e.g., colleges and divisions). The University also provides, through a Memorandum of Understanding, security of employment but without tenure for a very limited number of faculty, usually following completion of eight years of service. Appointment as a Lecturer or Senior Lecturer with security of employment are made to individuals with teaching ability of exceptional quality and when teaching ability in a subject matter is so specialized that it would be difficult to assure continuance of the presentation of the subject matter with any other type of appointment.

The award of tenure and promotion at the University are based on merit; they are not automatic. Award of tenure is based on consideration of evidence of teaching effectiveness, research and creative works, professional competence and activity, and institution and public service.* The tenure appointment review process characteristically entails a pyramid of reviewing committees. The process originates in the academic department where the candidate is asked to compile a review file with supporting documents. The department also solicits letters from scholars in the discipline at other institutions. Following a departmental review and vote, the file is reviewed by the Dean and a campus-wide committee. The recommendation on tenure is then sent to the Chancellor or Vice Chancellor, who makes the final decision. Merit increases and promotion of tenured faculty are also reviewed in the same manner. Tenured faculty who are not productive in all areas may be denied merit increases and promotion.**

The University estimates that approximately 70 to 80 percent of those reviewed for tenure are awarded it. Of those who enter as Assistant Professors about 60 to 70 percent are eventually awarded tenure. These percentages are the result of various factors such as probationary faculty leaving the University prior to a tenure decision as well as the rigorous selection and tenuring process. Many of the applicants are outstanding graduates of top universities with excellent credentials. Sometimes several hundred applicants apply for one position, therefore those individuals selected for positions as Assistant Professor have great potential for attaining tenure.

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*An explanation of these criteria at UC is set forth in the "Instruction to Review and Appraisal Committees" (APM-210-1) as issued by the President.
**Sabbatical Leave can also be denied.

While no tenured faculty have been dismissed for poor performance by the University in the last ten years, there have been many cases where tenured professors have failed to receive merit increases. As a result of being "frozen" in ladder rank, some faculty members seek employment elsewhere. The University also has the option of offering early retirement to nonproductive faculty.

Similarly, in the State University, all permanent faculty members are subject to a performance review for the purpose of retention, award of tenure, or promotion. All State University campuses have an appointment, retention, tenure and promotion policy which defines the duties of multiple committees and procedures for review. At minimum, faculty are evaluated on the basis of their teaching performance, scholarly or creative achievement, contribution to the community, and contribution to the institution. As in UC, there is a pyramid of reviewing committees established, beginning with the faculty's department, through the division or school, the Dean, the Academic President, and ultimately the President of the campus. The President reviews and considers the performance review recommendations, relevant material and information, and makes the final decision on retention, award of tenure or promotion.

According to the State University, between 1977 and 1985, out of a total of 3,400 probationary faculty, 229 separations occurred as a result of specific actions by the campuses to not grant tenure. There were also some 714 voluntary resignations by probationary faculty, some of which probably occurred in anticipation of negative campus actions. These figures indicate that about 60 percent of the probationary faculty was awarded tenure. In the same time period, out of a total of 2,490 tenured faculty, 11 professors were dismissed.

In The Challenge of Change, the Commission reviewed the credentialling and tenuring process in the Community Colleges. The Commission concluded that the system of credentialing "is unnecessarily rigid, cumbersome, and unsuited to the academic rigor of postsecondary institutions" (p.13) and recommended:

> 34. That the Legislature delete from the Education Code existing credential requirements for Community College faculty and administrators.
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> 35. That the Legislature authorize the Board of Governors, in consultation with the faculty, to (a) establish qualifications for employment of faculty and administrators, and (b) require that new faculty appointments, both full-time and part-time, be subject to peer review in addition to other administrative procedures.

With respect to tenure, the Commission concluded that "A formal system of peer review, prior to the granting of tenure, and a system of periodic evaluation of tenured and part-time faculty by their peers, students and administrators will significantly strengthen the faculties of the Community Colleges" and that "current evaluation procedures, which are determined by each district board in consultation with its faculty, do not appear to be adequate for this purpose." (p.15). As a consequence, the Commission recommended:

40. That the Legislature authorize the Board of Governors to establish the number of years new full-time faculty shall serve prior to receiving tenure. The Commission supports a probationary period of at least four years.

41. That the Legislature authorize the Board of Governors to establish a formal system of peer review prior to the granting of tenure, and periodic evaluation of part-time, probationary, and tenured faculty by peers, students, and administrators. Evaluation reports should be reviewed whenever faculty are considered for advancement in rank and salary.

42. That the Legislature authorize the Board of Governors to develop, and one or more districts to adopt, a pilot program of two- to five-year "rolling" contracts, coupled with periodic peer and student review, as an alternative to tenure.

The Office of the Chancellor of the California Community Colleges has recently convened a task force in response to AB 3409 (Hayden) for the purpose of developing recommendations on faculty and administrator qualification, peer review, hiring and retention. The task force will submit preliminary porposals and recommendations to the Legislature by March 15, 1987.

Issue Elaboration

According to one observer (Mayhew, 1979, p.251), the granting of tenure through much of the twentieth century was a relatively informal act often which the faculty member and the institution just assumed that tenure was operating. It was not until the 1960s that institutions generally provide a document indicating that tenure had been granted. Tenure was not seen as a particular burden to institutions as long as the proportion of faculty on tenure remained at 50 percent or less. It was during this period that student enrollments increased along with faculty salaries. By the late 1970s, however, when enrollment and financing of institutions began to stabilize, the situation in which many institutions had 70 percent or more of increasingly high-salaried professors on tenure became an issue of debate. This situation becomes a concern today when we take into consideration Congress's recent decision to remove the mandatory retirement age. While this law will not take affect until 1994, California's colleges and universities must seriously consider the ramifications now.

The following arguments are frequently made against tenure: (Partially adopted from Faculty Tenure: A Report and Recommendations by the Commission on Academic Tenure in Higher Education, 1973.)

- Since academic freedom must be assured to all teachers, even if they do not have tenure, academic tenure cannot be essential to academic freedom; what is essential is academic due process. Tenure is merely a 'condition of employment,' one among several that might be used.

- Tenure imposes an inflexible financial burden upon institutions: in times of financial stringency that burden may become intolerable.

- The tenure system, especially in times of financial crisis, diminishes the institution's opportunity to recruit and retain younger faculty. In this respect, the system operates to the disadvantage of new entrants into the profession and makes it especially difficult to expand the representation of women and members of minority groups in faculties.

- The tenure system leads to diminished emphasis on quality undergraduate teaching, because tenured professors prefer to concentrate on advanced and graduate education and on their own research and because, in the bestowal of tenure, research accomplishment is more easily measured than good teaching. The professional reward system, in the tenure context, thus fails to serve institutional and social needs.

- The tenure system encourages the perpetuation of established departments, disciplinary specialties, and schools of thought within departments; it tends to exclude new approaches and subject matter in higher education.

- Tenure, by ensuring permanence of appointment, diminishes accountability, fosters mediocrity and 'deadwood', and makes it excessively difficult for an institution to rid itself of an incompetent or irresponsible professor.

- The tenure system forces some institutions (e.g., Community Colleges) to make permanent appointments before it has had adequate time to assess an individual's competence.

- Tenure plans encourage controversy and litigation about nonrenewal of probationary contracts and denial of tenure.

- Tenure commits the institution to the individual but not the individual to the institution; tenured professors are free to leave for a better job elsewhere, regardless of how damaging their departure may be to the institution.

- The tenure system, by concentrating power in the hands of professors on permanent appointments, diminishes the role of students and younger faculty in college and university affairs.

The following arguments are commonly made in support of tenure:

- Tenure is an essential condition of academic freedom: it assures the teacher that his/her professional findings or utterances will not be circumscribed or directed by outside pressures, which could otherwise cost his/her position; and it assures students and the public, who support and rely upon the teacher's professional integrity, that the teacher's statements are influenced only by his best professional judgement and not by fear of losing his job.

- Academic tenure creates an atmosphere favorable to academic freedom for all -- the nontenured as well as the tenured -- because the tenured faculty form an independent body capable of vigilant action to protect the freedom of their nontenured colleagues.

- Academic tenure, by creating a faculty with a strong long-term commitment to the institutions, contributes to institutional stability and esprit. It thus promotes collegiality, joint responsibility for professional and institutional standards, and effective institutional governance.

- Tenure assures that judgements of professional fitness will be made on professional grounds and not on grounds of competitive personal advantage.

- By forcing institutions at a definite time to decide on whom to confer tenure and who to let go, the tenure system helps institutions avoid continuing on their faculties those who are agreeable but not outstanding and whose term appointment might otherwise be renewed regularly out of generosity, friendship, or neglect.

- Tenure is an important means of attracting men and women of ability into the teaching profession; by minimizing competitive economic incentives, it encourages teachers to concentrate on their basic obligations to their students and their disciplines.

- Tenure has an economic value that helps offset the generally lower financial rewards of higher education, thus enabling institutions to compete for professional talent - especially in such fields as law and medicine, which have highly developed markets outside the colleges and universities.

Policy Options

Option 1: Recommend that the Regents of the University, the Trustees of the State University, and the Board of Governors of the Community Colleges monitor the tenure system in their respective institutions to ensure that it is properly administered.

Academic tenure is considered fundamental in personnel policies. This option would affirm academic tenure and recognize it as the characteristic form for organizing professional teaching and scholarly service in California public postsecondary institutions. While this option affirms the principle of academic tenure, it would require that the governing boards of the three public segments oversee the tenure system in their respective institutions so that it is properly administered.

Option 2: Recommend that the University and the State University create a pilot program of voluntary rolling contracts with increased percentage in salary to supplement the current tenure system and provide choice to faculty.

In The Challenge of Change, the Commission recommended that the Legislature authorize the Community College Board of Governors to develop, and one or more districts to adopt, a pilot program of two-to-five year rolling contracts coupled with review as an alternative to tenure (Recommendation 42). This option would urge all three public segments to implement similar term contract arrangements with added percentage in salary. The rationale is that it would offer institutions greater latitude in filling staffing needs, and would offer faculty a choice between more pay or tenure. Contracted arrangements would demand that same high quality and commitment demanded of regular tenure-track appointments. While not a replacement for tenure-track appointments, this option would supplement the regular tenure-track. Following a probationary period, the institution would offer a term contract which may be renewed, provided the faculty member performs satisfactorily.

Others, however, are opposed to contracts even in limited situations. They argue that contracts with higher pay but without tenure would have damaging effects on the morale of the academic community. In and of themselves, contract arrangements cannot be expected to produce better teaching. Moreover, contracts may reduce faculty autonomy to administrative dependence.

Option 3: Recommend that life-time tenure in all California public postsecondary institutions be abolished and replaced with an alternative plan that guarantees both academic freedom and educational quality.

This option attempts to address some of the drawbacks of permanent tenure. In considering an alternative plan to tenure, Commissioners may want to discuss possible elements of such a plan. The following summary is an example of one alternative plan presented by two writers (Bowen and Schuster, 1986, p.239), although the authors believe that such an alternative plan "would almost surely dilute academic freedom as it has been traditionally known" (p.239).*

1. Faculty appointments would no longer carry lifetime tenure but would be made for one year at a time or for longer periods of perhaps three to five years but with no guarantee of renewal.

2. The employing college or universty would guarantee to provide academic freedom. The guarantee would be in the form of a clause in a written contract for each faculty member including those employed part-time and full-time and those of all ranks. The guarantee would carry a definition of academic freedom and would specify penalties for infringement.

3. General surveillance of academic freedom would be provided by an impartial, nongovernmental, statewide or regional commission. The members would include distinguished faculty, academic administrators, and laypeople.

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*It should also be noted that Bowen and Schuster do not advocate this alternative plan, but in fact, favor the retention of tenure.

4. The Commission would publish periodic reports with specific statements about the state of academic freedom at each institution in its region.

5. Complaints of specific violations would be referred to the Commission for investigation and recommendations as to the remedy.

6. Decisions of the Commission would ordinarily be final, but appeals could be presented to a court of law in the form of an action based on an alleged breach of contract.

7. Due process including peer involvement would be provided in connection with all faculty personnel decisions.

8. The plan would contain a grandfather clause so that the vested rights of current faculty would not be impaired. However, faculty members might be encouraged to give up tenure in exchange for a corresponding benefit, for example, a pay raise, increased leave, bigger retirement benefits.

On the other hand, some would argue that despite some real or potential problems, a well-monitored system of tenure is probably the best system for several reasons. First, it is well regarded by faculty and its elimitation, even if only symbolic, would likely produce serious morale problems. Second, the elimination of tenure in California would seriously reduce the attractiveness of the state's academic institutions and would therefore counter some of the recruiting incentives and efforts discussed under Issue 1.

Issue 4: What public policy should the Commission recommend regarding faculty evaluation and reward in the public segments. (The Community Colleges were already addressed in The Challenge of Change.)

Background

Each of the three segments has its own standards for evaluation and reward, based in some part on the mission and functions assigned by the Master Plan. The University is assigned a combination of functions: undergraduate education, postgraduate training leading to the docorate and various professional degrees, and advanced research in all fields of knowledge. Faculty members' performance are assessed in relation to these functions, as well as in relation to their service to the public, to their profession, and to their university.

In the State University, the mission of providing a general education and of training teachers is advanced by the expectation that professors will be excellent teachers themselves while maintaining currency in their fields through instructionally related research. In general, CSU gives greater weight to teaching in evaluation and reward, though some campuses have begun to emphasize research and publications in their own personnel procedures.

In the Community Colleges, the process of evaulation and reward is virtually identical to the procedures in K-12, and in fact these procedures are more standardized and less subjective than they are in the other two segments. Recognizing that appropriate subjectivity is an accepted way to identify, encourage and reward excellence in teaching, the Commission has already recommended that the Community Colleges move away from the K-12 model and toward the more traditional postsecondary model used at UC and CSU.

Aside from the methods each segment uses to evaluate and reward faculty, a key influence is the existence of collective bargaining. Bargainable issues encompass all working conditions, salaries, and tenure and promotion, retirement, and part-time employment policies and procedures. The California State University and Community Colleges are not free to set policies in these and other areas outside the collective bargaining arena, and this fact must be considered in the Commission's deliberations.

Issue Elaboration

The strength of faculty members lies in their academic expertise and in their ability to create new knowledge and to impart knowledge and understanding through excellent teaching. However, the traditional preparation for academic careers focuses on the discipline and emphasizes research rather than teaching. This often creates a divergence between the goals of institutions and the criteria used in evaluating faculty for retention, promotion, and tenure.

Today, faculty, administrators, governing boards, and the general public tend to equate faculty quality with research eminence (Bassis, 1986, p.7). As advanced knowledge is central to modern society, research is the function best rewarded, even while teaching and research are viewed as mutually reinforcing. The rewards for excellence in research go beyond institutional evaluation, and include prestige, visibility, and public recognition. The rewards for excellence in teaching are far narrower, and rarely reach beyond recognition within a department let alone throughout an institution or in the outside world. (The criteria and rewards for excellence in the Community Colleges are, of course, different.)

As a consequence, undergraduate teaching, particularly in the research universities, now occupies a position of low status in the academic community. The need to improve the quality of undergradute teaching in California's colleges and universities is acknowledged by the segments themselves (see issue paper on "Undergraduate Education").

Service is the third element encouraged and rewarded in the faculty. Three broad categories of activities have come to be labeled service (Crossen, 1983, p.5):

College or University Service -- committee or other governance activities internal to the department, college, school, or campus related to program development and institutional policy.

Professional Service -- committee, editorial, or other work for national or regional professional associations and/or academic disciplines.

Public Service -- activities other than basic research and teaching involving direct relationship with groups external to the academic community.

While it is clear that a great many people consider these areas of service to be an important and appropriate faculty role, the concept and definition of public service entails enormous difficulties. The purpose of public service is theoretically to encourage faculty to participate in activities that improve the community by bringing knowledge, information, or expertise to community groups. In practice, however, public service includes a broad array of activities sometimes indistinguishable from research and teaching activities. For example, public service may include research and scholarly inquiry and a wide range of analytical and practical activities under the notion of applied research. It may include teaching as a community service to lifelong learners; and it may include involvement in service activities that are part of being a citizen in the community.

The principal issue concerning public service is that the concept and its practice are not clearly defined and therefore, the role it plays in faculty evaluation needs to be examined. It is safe to say that in the evaluation and faculty reward system, public service is quite a distant third after teaching and research.

Policy Options

Option 1: Recommend that the Regents of the University and the Trustees of the State University, in consultation with the faculty, establish priorities for evaluating faculty for promotion, retention, and tenure and recommend that their policies and practices support the goals and missions of their institutions. Review should focus on the following components:

1.1 The relationship between the priorities for evaluating faculty for promotion, retention, and tenure, and the role and mission of the institution.

1.2 The nature of public service and its role in the evaluation of faculty.

This option would encourage the University and State University to undertake a systematic review of their current policies and practices for evaluating and rewarding faculty and to revise or modify them as needed. Establishing priorities for faculty personnel policies and evaluation is a central challenge for the University and State University. In most cases, the role and mission of the institutions are reinforced by the criteria and expectations for promotion, retention, and tenure, but in cases where role and mission are not supported it becomes the responsibility of the governing boards, faculty, and executive leadership to make sure those criteria correspond to the goals of the institutions. While the University and the State University regard teaching, research, and service as complementary and mutually reinforcing, the maintenance of a proper balance among these activities is not automatic. Often these activities are in tension with one another and institutions must maintain a continuing process of monitoring the balance to assure appropriateness to their role and mission.

Option 2: Recommend that the Regents of the University of California adopt policies and procedures that will assure that teaching truly is counted equally with research in evaluation of faculty for retention, promotion, and tenure. (This option is the same as Option 1, Issue 3, in the Undergraduate Education issue paper.)

Option 2 recommends that the Regents emphasize effective teaching as highly as research and creative activity in faculty evaluations. This option would encourage teaching to become central in the concept of scholarship.

However, some fear that emphasis on teaching may mean less emphasis on research and creative activity and would be contrary to the best interests of the University, students, and society. Because society is so dependent on the advancement of knowledge, research must continue to be the primary emphasis of faculty activity and faculty evaluations should encourage this activity. A major concern of some observers is that, due to time constraints, teaching would compete with research and creative activity and may discourage the brightest faculty from remaining in the University and present problems in the recruitment of bright young scholars. Additionally, effective teaching is more difficult to measure than effective research.

Option 3: Recommend that the Trustees of the State University establish research and creative activity as coequal with teaching effectiveness in the evaluation of faculty for retention, promotion, and tenure.

This option recognizes that the State University has experienced tremendous growth since the 1960 Master Plan and is now providing a number of excellent resources, including important research by many members of the faculty. Teaching is one important part of the academic activity for which university faculty members are evaluated. Because the focus of research and creative activity is the central professional endeavor, and because the State University has encouraged scholarly and creative achievement as one criterion for retention, promotion, and tenure, this option would provide the formal recognition for what faculty are already engaged in on many campuses. Moreover, many would argue that research and creative activity are related to excellence in both undergraduate and graduate education and to the cultural, economic, and social needs of the communities that State University campuses represent.

Historically, teaching has been the State University's top priority. Some would argue that this option might distort the role of the State University with respect to teaching.

Option 4: Recommend that the governing boards of the University and the State University, in consultation with the faculty, continue to establish their own priorities within the framework of the Master Plan for evaluating faculty for retention, promotion, and tenure.

Universities have a number of distinctive tasks. They attempt to develop a highly educated citizenry, discover and transmit knowledge for theoretical and practical ends, and foster the arts, sciences, and humanities. Faculty members have many different roles with respect to these tasks. This option accepts the arguement that the universities themselves are the best judges for determining priorities for faculty evaluations. This option would allow the University and the State University to continue choosing their priorities within the framework of the Master Plan.

Option 5: Recommend that the governing boards of the University and the State University adopt policies to encourage and allow a differentiation of faculty roles (teaching, research, graduate education). Further, that the governing boards make appropriate personnel policy, organizational, and structural changes to facilitate a differentiation of faculty roles. (This option is the same as Option 3, Issue 3, in the Undergraduate Education Issue Paper.)

Competing with one another for promotion, retention, and tenure, faculty members try -- sometimes unsuccessfully -- to engage in significant teaching, research, and public service all at once. This option would require institutions to clearly define the roles of teaching, research/publication, and public service. Additionally, it would allow reward for a variety of faculty roles, recognizing that each individual has strengths and weaknesses and that institutions have many needs. The evaluation and reward system would be adjusted to recognize the institution's needs and an individual's performance in meeting those needs.

Option 6: Recommend that the governing boards of the University, State University, and the Community Colleges formally recognize service to the public schools as part of their missions and reward faculty who carry out such service. Workload for faculty would be modified to accommodate such roles.

This option would integrate public school service activities into the roles and missions of the three public postsecondary segments. Each would determine, with the public schools, the appropriate public service activity to be rewarded in faculty evaluations. Such activity could include faculty presentations and workshops in the public schools, intersegmental curriculum development and seminars, or faculty participation in student outreach programs on campus.

There are several advantages to this option. First, it recognizes the responsibility of postsecondary institutions in general, and faculty members in particular, for helping to improve instruction and student preparation in the public schools. Second, it recognizes the importance of communication between public school teachers and the faculty of postsecondary institutions. Third, it would encourage closer relationships between academic departments and schools of education that would benefit public school teacher preparation.

However, it may be argued that this option would use valuable faculty time that might otherwise be devoted to research and teaching.

Issue 5: What public policy should the Commission recommend regarding faculty and staff development that will ensure institutional vitality and educational excellence?

Background

The 1960 Master Plan made one recommendation regarding faculty and institutional development:

> Individual faculty members and their institutions jointly assume the responsibility for both the initiative and opportunity for faculty inservice preparation and self-improvement so essential for the growth and development of the institutions (p. 36).

The issue of institutional vitality has taken on greater importance today and will continue to do so in the future. California postsecondary institutions and their faculty have been dramatically affected by the changing conditions, both external and internal to the campus and the academic profession. Today's students bring with them an experience and set of interests and attitudes that are substantially different from those that characterized students twenty years ago; many lack the preparation necessary for traditional college education, are more vocationally oriented, and tend to be less accepting of traditional academic values.

Diversity in student background and preparation is also a central challenge. Many minority or ethnic group members are the first in their families to attend colleges. Many students are adults who have decided to return to school after a prolonged absence. Institutions must become more creative in providing faculty development programs to prepare them to meet the needs of these students.

Conditions internal to the campus consist of an aging faculty that currently lacks the traditional mode of renewal through the hiring of young faulty members. A major observation of some is that institutions will need to encourage an environment in which current faculty continue their preparation and self-improvement so essential for meeting the changing educational needs of the state. Since academic institutions depend directly on a vital and dynamic faculty to achieve their educational goals, the question remains as to how self-improvement can best be accomplished.

Recognizing many of these issues, the Master Plan Commission, in its report The Challenge of Change, stated that "new and experienced faculty, both full-time and part-time, must be encouraged to strengthen their teaching skills through appropriate inservice, on-campus training programs and other activities" and that these programs should "provide opportunities for professional growth and the development of interpersonal skills, including those skills important to working with colleagues, participating in peer review, providing student counseling, and other professional activities" (p.16). The Commission also believes that effective faculty and staff development must be linked closely to evaluation activities and promotion policies. Thus, the Commission recommended:

> 46. That the Board of Governors develop and implement a plan to strengthen professional development programs on Community College campuses. The programs should serve faculty and administrators alike and be closely linked to regular evaluation and promotion procedures. This plan should be supported by an appropriation to the Board of Governors for allocation among the participating colleges.

Recently, the Governor and Legislature have provided $500,000 to the California Postsecondary Education Commission for a major two-part study of staff development in California's public education, $200,000 of which goes for a descriptive study in higher education. The project will gather and analyze information about staff development in California's public schools, colleges and universities and then develop alternatives and recommendations for state policy. These studies will address the question of who offers these programs, who pays for them, and what the state should do to strengthen inservice training.

Policy Options

Option 1: Recommend that the governing boards of the University, State University, and the Community Colleges adopt policies to enhance the growth and development of faculty and to ensure their preparation to meet the changing educational needs of the state.

Some observers have pointed out that maintaining and enhancing faculty commitment and involvement in institutionwide concerns is one of the major challenges facing higher education. This option recognizes the necessity for statewide policy that would address issues pertaining to faculty development, morale, institutional vitality, and pedagogical techniques for teaching new student clientele. Consideration might be given to linking post-tenure review with faculty development. The objective would be to help move faculty and institutions closer to their mutual goal of academic quality. Evaluation for promotion or merit salary increase might be made in the context of a carefully planned development program for individual tenured faculty.

Option 2: Make no recommendations regarding faculty development, pending the study by the California Postsecondary Education Commission.

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ISSUE PAPER NO. 7

BUDGETING STATE SUPPORT FOR PUBLIC POSTSECONDARY EDUCATION: THE BUDGET PROCESS; PERFORMANCE INCENTIVES; AND COST CONTAINMENT

Introduction

This is the second of two issue papers dealing with the financing of postsecondary education in California. This paper deals with state budget and appropriation policies and practices, including the potential use of performance incentives in the segmental budgets, and the opportunities for cost containment in public postsecondary education.

Issue 1: What public policy should the Commission recommend regarding budgeting and appropriating state support for public postsecondary education?

Background*

The 1960 Master Plan Survey Team devoted a substantial portion of its report to the financing of higher education in California. Specifically, it discussed historical expenditure trends, estimates of unit costs, the costs of constructing new campuses, and the state's ability and willingness to adequately support higher education in the future. Its recommendations in this regard, however, dealt only with increasing state support for the Junior (Community) Colleges, the expansion of Junior College districts, student fees, the responsibility of the proposed new Coordinating Council for reviewing annual budget requests of UC and CSU and presenting to the Governor "comments on the general level of support sought," and its authority to require the public institutions to submit needed data on operating and capital costs.

The Survey Team may have said little more about the budget process because California was among the first states to employ relatively sophisticated workload formulas in the funding of its postsecondary educational institutions. During the past three decades, indeed, it may have carried the practice as far or farther than any other state, due in great part to the size of the state's public postsecondary enterprise, the power of the executive in the budgetary process, and the depth of staffing developed by the executive and the legislative fiscal offices. Such budgetary formulas have the value of making funding decision factors explicit, reducing uncertainty about future funding, and reducing conflict among institutions within each segment (Meisinger, p.7). They may also, of course, create unintended incentives and obscure real differences in funding needs, but their benefits are believed to substantially outweigh their weaknesses by those who have studied the evolution of postsecondary education finance.

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*See Background Paper No. 2 for additional information relevant to the issues discussed in this paper.

California was also among the first states to experiment with "program planning and budgeting" and then with cost-benefit and cost-effectiveness analysis when it was thought that those approaches would substantially enhance the efficiency of public spending. There were also experiments with "zero-base" budgeting when that became a popular concept, although the sheer size and sophistication of the state's budget, as well as its disillusionment with earlier budgetary "reforms," limited the scope of those experiments. Important parts of all of these approaches have been incorporated in the state budget process, but that process continues to be best described as one in which incrementalism, detailed workload formulation, and input standards are the dominant concepts.

The existing system of budgeting and appropriating state support for postsecondary education in California may be summarized as follows:

Budget preparation. Preparation of the University of California's annual support budget begins approximately one year before it is submitted to the Legislature as part of the Governor's Budget. That part which is supported from the state's General Fund is divided into ten major programs: instruction (which is further subdivided into general campus instruction, health science instruction, summer session, and University extension), research, public service, academic support, teaching hospitals, student services, institutional support, student financial aid, unallocated adjustments (principally salary increase funds), and special Regents programs. state support in each of these areas is based upon prior year spending adjusted for workload changes, cost adjustments, program change proposals, and salary increases.

The principal workload measure for instruction is full-time equivalent (FTE) enrollment, which generates one FTE faculty position for every 17.6 FTE undergraduate and graduate students and one FTE teaching assistant for every 44.2 FTE undergraduate students, plus a certain amount of funding for instructional support and library costs. Other programs are budgeted according to various other workload measures (student services, plant operation and maintenance) or on an activity-by-activity basis (research, public service). The principal cost adjustments are for merit and promotional salary increases, salary annualization, price increases, and changes in student charges and other revenues. Program change proposals include changes in graduate student enrollment, research projects, building maintenance projects, and equipment additions and replacements.

Preparation of the CSU budget also begins approximately a year in advance of its submission to the Legislature and involves faculty, administrators, students, and others at the campus and central office levels. The CSU budget is divided into seven program classifications: four (instruction [regular, special session, and extension], academic support, student services, and institutional support) that receive direct state support and three (public service, independent operations, and auxiliary organizations) that do not. State support in each of the first four areas is calculated to provide for "baseline" adjustments, program maintenance proposals, budget change proposals, and unallocated salary and benefit increases.

Baseline adjustments cover "merit" salary increases, promotions, full-year funding, and changes in fringe benefits. Program maintenance proposals reflect changes in workload and "special" cost increases. The primary workload measure for instruction is again FTE enrollment; one FTE faculty position is provided for every 17.85 FTE units of undergradute and graduate enrollment. FTE enrollment is also the basis for budgeting academic support positions and positions in other program areas directly affected by changes in student enrollment. Other staffing and operating expenses are related to faculty positions, the number of individual students served, and interior and exterior spaces. Program change proposals are proposals to improve funding for existing programs, fund new programs, and make changes in authorized fee levels.

As noted in the *Background Papers: The Challenge of Change*, the process by which the annual state general apportionment for the Community Colleges is determined begins with statewide estimates of property tax revenues, price increases, and adult population growth by the Department of Finance. These figures are combined with statewide enrollment projections, "base revenue" figures, and equalization requirements prepared by the Chancellor's Office according to the statutory formula to produce the proposed State general revenue figure for all districts. This figure is then reduced by the estimated property tax revenue for the districts and estimated student enrollment fee income to produce the state general apportionment proposed in the Governor's Budget. In the meantime, each of the 70 Community College districts throughout the state prepares its budget for current expenditures of revenues for all sources, estimating what it is likely to receive from the state if the statutory formula is fully funded.

Capital outlay budgets for all three segments are generated from continuous long range campus and segmental planning. Major construction projects are proposed in several stages: preliminary plans, working drawings, construction, and equipment, although two or more stages may be combined. New instructional space is expected to comply with approved space utilization standards (capacity and hours used), and there are established allowances for office space, research facilities, library space, etc. Capital outlay projects are also ranked for funding in the following order: equipment for previously approved projects, working drawings and construction of approved projects, general campus improvements, code deficiency corrections, utility improvements, and systemwide projects.

The budget for the Student Aid Commission is drawn up by the agency and the Department of Finance on a program-by-program basis for each of the seven aid programs administered by the Commission. The estimated number of recipients and the average award per recipient are the key factors for the grant programs. Administration, research, reporting, and other functions are budgeted as for any other state agency. Current expense budgets for Hastings College of Law and the California Maritime Academy are developed in much the same fashion as the UC and CSU budgets. The California Postsecondary Education Commission is subject to much the same sort of budgeting as is employed for the state administrative agencies, except that many of its special studies are funded individually according to estimated staff time requirements.

Budget Review. The Department of Finance's role in the review of segmental support budget requests and preparation of the Governor's Budget is continuous, but its first important contribution to the annual budgets is its preparation of enrollment estimates and the "price letter" described above. Detailed negotiations with UC and CSU representatives begin when their governing bodies approve and transmit to the department in September and October their budget proposals for the next fiscal year. Inasmuch as the "baseline" costs are largely determined by enrollment estimates and cost-of-living adjustments, the department's attention goes principally to the program change proposals submitted by each segment. Pending decisions as to the availability of resources to fund BCP's and the priority order to be assigned to them, the department examines in detail the justification submitted with each proposal. When the Governor has determined the level of funding available for each segment, the proposals are included or eliminated according to their approved cost and priority.

Staff of the California Postsecondary Education Commission analyze budget change proposals for the Department of Finance and sit in on the budget negotiations conducted by the department and the segments. They also contribute significantly to those negotiations through their annual faculty salary surveys for UC and CSU and through other regular and special reports that have financial implications for the segments. In January, there is a CPEC "Director's Report" that summarizes the Governor's Budget with respect to postsecondary education, and in March the director presents an "Overview of the Governor's Budget" to each of the Legislature's fiscal committees as they begin to consider support for the segments, the Student Aid Commission, CPEC, and the other postsecondary institutions. In addition, CPEC staff may be called upon for relevant data during the legislative budget hearings. They may also play an important part in the shaping of other appropriation measures affecting postsecondary education, including any changes in the statutory formula for state support for the Community Colleges.

The Legislative Analyst's review of the postsecondary education budgets also begins with publication of the segmental budgets and closely parallels the work of the Department of Finance as that agency determines the level of support and program changes to be included in the Governor's Budget. The Analyst's recommendations are presented in the Analysis of the Budget Bill, which is usually published in February and which becomes the principal guide to subsequent review of the budget bill by the Legislature's fiscal committees.

Appropriations. The Governor's spending plan is reviewed in detail by subcommittees of the Senate Committee on Budget and Fiscal Review and the Assembly Committee on Ways and Means. These subcommittees hear detailed testimony from the segments, the Legislative Analyst, and the Department of Finance on each item of expenditure and may make any changes or additions they desire. Subcommittee staff may also become involved in shaping legislative decisions on issues of particular importance to subcommittee members. Although legislative review usually concentrates upon proposed changes in the segmental budgets, the "baseline" expenditures may be examined, as well, at the urging of any of the participants.

According to the State Constitution, review by the subcommittees, the full committees, and both houses of the Legislature must be completed and the new Budget Bill passed by midnight on June 15th of each year. This is intended to give the Governor 15 days in which to reduce or eliminate any amounts or wording that he or she objects to prior to signing the bill into law for the new fiscal year beginning July 1.

Allocations. In general, because of its Constitutional autonomy, the University of California may allocate its annual state support appropriation any way it pleases; it need only bear in mind that it must come back to the Governor and the Legislature each year for a new appropriation. Budget Act provisions may specify, however, that certain amounts are to be spent only for designated purposes (e.g., salary increases, research programs, health sciences, etc.). CSU must abide by certain additional restrictions but over the years it has been freed by statute and administrative action of most of the restrictions imposed upon other state agencies. The Board of Governors of the Community Colleges has no significant discretion in the allocation of general state support to the local districts, but the local district governing boards may spend that support for any lawful purpose they choose.

Capital outlay funds, which are normally appropriated for specific projects and in a number of stages for each project, must be spent by each segment for the purposes for which they are appropriated.

Issue Elaboration

With respect to the formulation and presentation of segmental budgets, the matter that is most overdue for reform is the development of the Community College support budget. The statutory formula, which is based upon a single workload measure -- average daily attendance -- and subject to frequent rewriting in the legislative arena, is no longer appropriate to the large system of postsecondary institutions that the California Community Colleges have become. (Weaknesses in this system are discussed in detail in the Background Papers: The Challenge of Change.)

Another budgetary matter that attracts criticism from time to time is the alleged inequity in funding formulas among the segments. That, for example, each FTE unit of undergraduate enrollment produced approximately $4,300 in state support for UC and $3,300 in support for CSU in 1985-86 has been cited as evidence of a serious funding inequity. The principal reasons these figures differ is that they reflect significant differences in faculty teaching loads related to differences in mission, and they reflect significant differences in faculty salaries and benefits. There may be other reasons, however, that are not as justifiable.

It has also been argued that important workload measures have been defined and applied differently among the three segments with the result that state support is distributed inequitably. For example, FTE enrollment is classified as undergraduate or graduate according to the level of course offering for CSU but according to each student's standing for UC. Since many graduate students enroll in undergraduate courses, this tends to produce a higher level of support for UC. Similarly, there is dispute as to the fairness with which cost-of-living adjustments are made for UC and CSU, on the one hand, and the Community Colleges, on the other (Wellman).

For some, however, the most important problem is the apparent lack of connection between resource inputs for postsecondary education and educational outputs. The longstanding assumption has been that if the state provides adequate funding the faculties and administrators will strive for high levels of performance (Pickens, 1980, p.62). Recently, however, much attention is being given to outcome and value-added measures and to performance incentives as means for more closely relating expenditures with desired results. If postsecondary education budgets are to enhance institutional accountability, not in the sense of using resources for the purposes for which they were appropriated but in the sense of accomplishing what is expected, then greater emphasis must be placed on results. Advocates of the value-added concept argue that colleges and universities should not simply admit, instruct, and graduate students but should be held responsible for adding to the intellectual abilities of every student in measurable ways. Others, who agree that educational value-added is an important concept, believe it to be too elusive to be quantifiable (Johnson, p.171) and argue that other aspects, such as credit hours per faculty member, that are quantifiable must be used as substitute measures of productivity or output.

Certainly, it is no easy task to decide what are the measurable state objectives for its postsecondary institutions, but several interesting efforts have been made. For example, in 1984 the National Center for Higher Education Management Systems published an illustrative list with five principal outcome categories: (1) provision of educational opportunity, (2) achievement of particular student outcomes, (3) configuration and quality of programs and institutional resources (structure, mission, quality), (4) contributions to specific constituents, and (5) efficiency (see Appendix A). Such lists provide a good starting point for discussing the development of a specific performance funding scheme, but they also suggest the difficulty of doing so. A comprehensive performance evaluation scheme is certain to be extremely costly in time, energy, and dollars that are likely to be drained from the central enterprise itself. This may be the reason why there have been so few experiments to date with performance measurement and performance funding.

One experiment that has attracted considerable attention is continuing in Tennessee. Finding themselves with a public postsecondary system which they described as one of the weakest in the nation, Tennessee officials in 1974 began a Performance Funding Project in which institutional funding and institutional performance were to be linked. The project, directed by the Tennessee Higher Education Commission (THEC) and described elsewhere in detail, eventually evolved into a series of institutionally based experiments in the definition of institutional mission, selection of performance measures relevant to that mission, and compilation of data according to those measures. A common rating system was established and the THEC recommended supplemental appropriations to each participating institution according to its performance record. The maximum appropriation was set at two percent of the institution's "education and general" budget inasmuch as it had been decided that the project would be expected to supplement rather than supplant existing budget formulas.

The original performance measures developed for each campus emphasized evaluation by students, faculty, alumni, employers, and others. In 1983, these were replaced with more objective measures emphasizing test scores and placement of graduates (Appendix B), and in 1984 the maximum appropriation was raised to five percent. The new standards do not, however, directly measure "value-added" to students by the institutions. This has led one outside observer to conclude that the Tennessee experiment is, "with all the jargon removed, really a categorical program for promoting evaluation ..." and not a means of increasing faculty productivity or directly improving instruction (Pickens, p.202).

Clearly, there is a need for further experimentation, but performance funding must be approached with some caution. California's public postsecondary educational institutions perform functions that are extremely important to the well-being of the people of the state and that are not likely to be provided in equal measure by the private sector in their absence. This is the fundamental concept upon which they have been established. A funding mechanism that transfers state support from the least successful institutions to the most successful in terms of some performance standards would punish the students enrolled in the former and ultimately reduce rather than increase educational opportunity in this state. Doubtless, this is why there have been no broadly supported proposals to apply performance funding other than at the margin of state support.

It must also be borne in mind that private institutions are funded on much the same basis as public institutions. Funding for private institutions is directly related to enrollment through tuition income, just as funding for public institutions is directly related to enrollment through state support formulas. Because private institutions admit most of their students as freshmen, however, they have a strong incentive to retain a high percentage of those students and to establish a climate of instructional achievement that will attract large numbers of applicants. As their applicant pools increase, they can be more selective in their admissions policies than public institutions and produce larger numbers of alumni who will be able to contribute substantially to their financial needs. In practice, however, relatively few private institutions achieve these objectives, and many remain less selective than public institutions as a consequence.

If California is to proceed with the development of performance funding for postsecondary education, there are at least three very different routes it may take. It can attempt to develop a comprehensive system along the lines suggested by the NCHEMS outline, it can attempt to use existing outcomes data to measure performance, or it can take the approach of selecting and implementing specific performance funding practices that can be put in place relatively easily.

The first approach is suggested in the instructions in ACR 141 (Hayden) of 1986 to the California Postsecondary Education Commission. ACR 141 (see Appendix C) directs CPEC to "survey other states, analyze relevant data, and make recommendations relevant to talent development, value-added, and performance-based budgeting approaches to measuring and improving the quality of education." In doing so it is to employ a "Task Force on Value-Added Approaches to Higher Education" representing a variety of interested institutions and organizations, and it is to submit its report, including recommendations for implementation, to this Commission, the Joint Legislative Committee on the Review of the Master Plan, and the segments by March 1, 1987.

Alternatively, existing data related to educational outcomes might be assembled by CPEC for consideration during the Legislature's budget review process. A recent report published by the Assembly Subcommittee on Higher Education suggests that the following data might be assembled for each of the segments "without stretching our capacity to measure educational and fiscal performance" (Wellman): "percent of teaching faculty positions held by full-time faculty; number of faculty FTE positions held by full-time faculty; number of faculty FTE positions filled by regular ranks faculty; average class size by discipline and level of instruction, distribution of faculty time in comparison to enrollments by level of instruction; attrition rates for students; and average time to degree for all degree levels."

Or, if the Commission were to endorse the third approach as an alternative or as an interim policy, there are several specific proposals it might consider. For example, the four-year segments might be rewarded financially for increasing the rate of Community College transfers they admit, and the Community Colleges might be rewarded for producing an increasing number of transfers. This would support state policy to increase the Community College transfer rate and give the Community Colleges and the four-year institutions additional support for the identification, counseling, placement, and guidance of such students. Supplementary appropriations might also be provided for increases in the enrollment of underrepresented minorities, reduction in average time required for students to earn baccalaureate degrees, and for other measurable achievements consistent with state objectives.

Policy Options

The Commission may wish to consider the following policy options regarding budgeting and appropriating state funds for public postsecondary education.

Option 1: Reaffirm the Commission's recommendation in The Challenge of Change that the current statutory support formula for the California Community Colleges be replaced by a set of administrative budget instructions incorporating a simplified "differential funding" system based upon FTE and "headcount" enrollment and other appropriate measures.

The Commission carefully considered and strongly recommended changing the budget and appropriation process for the Community Colleges from one resembling that of the public schools to one appropriate to postsecondary institutions. Legislation providing for the development of a specific plan has been signed by the Governor and will soon be implemented. It is important, however, that the Commission continue to demonstrate its support for this reform as the interested parties address the technical problems it poses.

Option 2: Recommend that the California Postsecondary Education Commission in consultation with the three public segments, the Department of Finance, and the Legislative Analyst, review current budget formula and guidelines to eliminate differences in cost standards that are not justifiable according to differences in role and mission.

Many students, faculty, and administrators believe that current budget formulas favor one public segment over the others in the distribution of state support. A thorough reexamination of the funding formulas and processes that have evolved over the years should provide an opportunity to eliminate those inequities that have arisen and dispel distrust that is unjustified.

All parties could also take this opportunity to minimize existing differences in cost accounting and budget expenditure categories.

The Commission may wish to consider the following policy options regarding performance funding.

Option 3: Defer action on performance funding pending receipt of the CPEC study and recommendations on or before March 1, 1987.

As noted above, ACR 141 directed CPEC to study "talent development, value-added, and performance based budgeting approaches to measuring and improving the quality of education." Although the study is to be completed in a very short time, it may produce information regarding performance funding that the Commission will want to incorporate in its recommendations. Or, at the other extreme, it may suggest that performance funding is not a concept to which the Commission should give serious consideration.

Option 4: Recommend that CPEC assemble existing data on student retention, degrees awarded, average time to degree, and other performance measures for inclusion in its annual report on segmental budget requests.

The segments do or can collect and publish data regarding the admission of underrepresented minorities, retention, degrees awarded, average time to degree, and other data that, if compiled and presented by CPEC during the annual budget hearings, might assist the Governor and Legislature in giving more consideration to performance than they have in the past in allocating state support. Unfortunately, the segments often use different definitions, time periods, and other factors in collecting the data so that its usefulness may be much less than it could be. Therefore, CPEC and the three segments should take this opportunity to improve the comparability of this data.

Option 5: Recommend that the Governor and Legislature provide one or more of the following forms of supplemental support for the segments:

A. A supplemental appropriation for each additional student who transfers from a California Community College to a UC or CSU campus.

B. A supplemental appropriation for each percentage increase in the enrollment of underrepresented students at the lower division, upper division, and graduate levels of CSU and UC.

C. A supplemental appropriation for each percentage reduction in the average time to degree for undergraduate and graduate students at CSU and UC.

D. A supplemental appropriation for each increase in the percentage of students admitted as freshmen and as upper division transfers from a Community College who earn a baccalaureate degree.

Each of these supplemental appropriations would provide an incentive for achievement of an important state policy objective, and each would provide the institutions with additional resources for that purpose. The exact amounts and the manner could be determined according to the costs of services provided to achieve the gains and the best measures of such gains.

Option 6: Recommend that the Governor and Legislature establish financial penalties for the segments for the failure to achieve state policy objectives with respect to transfer, enrollment of currently underrepresented students, average time to degree, and retention.

This is the reverse of Option 5. A threatened reduction in institutional support might be expected to be as strong an incentive for achievement as a promise of increased support. A reduction in support, however, would punish the students attending the institution as well as the faculty and administrators.

Issue 2: What public policy should the Commission recommend regarding cost containment for public postsecondary education?

Background

In the decade following adoption of the 1960 Master Plan, expenditures for postsecondary education from the state's General Fund grew faster than General Fund revenues, largely as a consequence of the rapid enrollment increases of that period. Since then, however, General Fund expenditures for postsecondary education have grown less rapidly than General Fund revenues, permitting a larger share of those revenues to go to other purposes. In view of the projected continuation of enrollment declines through the mid-1990s, it would appear that postsecondary education costs are not likely to be a special source of fiscal difficulty for the state during the last part of this century.*

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*The most recent enrollment projections by the Department of Finance (July 1986) indicate declining enrollments for UC, CSU, and the Community Colleges to the mid-1990's, but UC's own projections show its enrollment rising as it continues to take a growing percentage of students eligible as freshmen. CSU enrollment has also risen despite the Finance projections. If this is permitted to continue, then postsecondary education may well be a source of fiscal difficulty for the state during this period.

This does not mean, however, that the state will escape such difficulty or that there will not be good reasons for seeking to control the rising cost of postsecondary education in this state. As noted in Issue Paper No. 2, the limit on state revenues established with adoption of Article XIII B of the California Constitution in 1979 is very likely to sharply curtail the growth of General Fund revenues and expenditures in 1987-88 and thereafter. Expenditures subject to the limit are very likely to be pushed upward at a rate significantly greater than the combined growth rate for population and the consumer price index, which now set the limit for revenue growth under XIII B. Thus, there is likely to be great pressure on all costs subject to the limit, including those for postsecondary education.

When faced with cost projections that appeared likely to far outrun revenue projections in the years ahead, the Master Plan Survey Team concluded, "California can and will...provide adequate support for an efficient program of public higher education designed to meet fully the rapidly changing needs of society" (p.196). These optimistic words proved in time to have been right, but there is little evidence that similar optimism is justified a quarter-century later. It may well be that postsecondary education finance should best be considered as a "zero-sum game" (at the current level of funding) for the next decade at least.

Thus, as the Commission reviews the issues before it and considers the recommendations it will incorporate in the new Master Plan, recommendations that are sure to require some increases in state support, it must also look for ways to contain costs or to increase revenues for postsecondary education, or both. Several methods of increasing revenues through increasing student charges are discussed in Issue Paper No. 2; here we will consider ways of containing or reducing costs.

Issue Elaboration

There are many opportunities for marginal cost reductions -- reductions in instructional equipment purchases, reductions in library acquisitions, tightening of administrative staffing ratios, increases in space utilization standards, to name a few -- but these are the kinds of controls regularly proposed and accepted or rejected in the budget review process. If costs are to be controlled, it is important to focus not only upon those matters that produce marginal increases in expenditures, but also upon those that are the principal factors that influence costs.

The following are some of the principal factors that are considered directly or indirectly in formulating the annual support and capital outlay budgets for postsecondary education and thus are the principal factors influencing the cost to the state for postsecondary education.

Support:
- Enrollment (size and distribution)
- Faculty staffing ratio
- Faculty salaries and benefits
- Instructional support
- Administrative staffing ratios and salaries
- Student service formulas

Plant capacity
Equipment purchases, maintenance, and replacement
Price increases and cost of living adjustments

Capital Outlay: Enrollment projections
Space utilization standards
Construction schedules
Price increases

Major cost reduction can be achieved only by dealing directly with these factors and particularly with the principal cost determinants: instructional staffing ratios, salaries and benefits, and enrollment. Faculty teaching load can be increased, class size increased (although classroom and laboratory capacity limit this possibility), increases in salaries and benefits can be pared or postponed, and enrollment can be reduced. Enrollment may be reduced by admitting fewer students, reducing degree and other course requirements, or reducing the number of courses taken that are not counted toward degree requirements. The Commission's recommendations regarding counselling, testing, and guidance and the transferability of credits may be expected to have some impact in this respect, although the actual savings will be very difficult to predict.

Existing cost controls, applied during the budget review process by the Department of Finance and the Legislative Analyst, regularly deal with both the marginal and the major cost factors, although it is generally easier for those agencies to challenge additions to the funding base than the base itself. There is also a strong tendency to spend as much as revenues permit, so that revenue growth and the competing demands of alternative state services provide the most important cost controls. When revenues are insufficient to fund otherwise acceptable spending plans, a Governor is likely to reduce salary increase funds or to resort to "unidentifiable reductions" and other devices that force the institutions to decide for themselves how best to curtail cost increases.

Another method of cost containment for the public institution would be to divert enrollment from those institutions to comparable independent colleges and universities with excess capacity. This might be accomplished by limiting enrollment at the public institutions, raising their charges, increasing financial aid for students enrolling in independent institutions, or a combination of these measures. If successful, the diversion of enrollment might not only reduce net support costs but capital outlay expenditures, as well. Planned increases in existing capacity and the need for new CSU and UC campuses might be postponed with substantial savings to the taxpayers.

Similarly, student exchange (tuition reciprocity) agreements with other western states with excess capacity in specialized facilities might produce significant savings. California receives many more students from other western states than it sends to those states, but the procedures for student exchanges are available through the Western Interstate Commission on Higher Education if California wishes to employ them.

Policy Options

The Commission may wish to consider the following policy options regarding cost containment for public postsecondary education.

Option 1: Recommend that specific cost factors -- faculty workload, student-faculty ratios, enrollment, etc. -- be controlled so that the segments would be required to finance new programs and services from savings in their annual budgets rather than from additional support.

Among these factors, enrollment may prove to be the most amenable to change, through improved counseling and placement, a reaffirmation of the 40-60 ageement for CSU and UC, and other matters currently under consideration by the Commission.

Option 2: Recommend that the California Postsecondary Education Commission, in cooperation with the public and private segments, the Student Aid Commission, the Department of Finance, and the Legislative Analyst undertake a thorough study of potential methods of reducing the state supported costs of postsecondary education in California.

A thorough examination of opportunities for cost containment in postsecondary education supplementary to the normal budget review process may reveal opportunites for substantial savings heretofore overlooked or ignored.

Option 3: Make no recommendations regarding cost containment, leaving that responsibility with the Department of Finance and the Legislative Analyst.

Competing demands for available General Fund revenues and the expected impact of Article XIII B of the California Constitution may be sufficient to force cost reductions through the normal budgetary process.

Option 4: Recommend that students be diverted from the public institutions to comparable independent institutions with excess capacity.

Experience has shown that independent institutions without excess capacity will not accept enrollment beyond their planned capacity. Undoubtedly, however, some independent institutions now have capacity to absorb students who would otherwise enroll at a public college or university campus. The staff is now seeking to obtain information as to the extent of such capacity.* To the extent that it exists, there may be opportunity for savings in both support and capital outlay costs, even after allowing for increases in state student aid costs.

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*A response to our request for this information is attached.

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University of the Pacific
University of Redlands
University of San Diego
University of San Francisco
University of Southern California
University of West Los Angeles
West Coast University
Westmont College
Whittier College
Woodbury University
World College West

December 4, 1986

Mr. Jerry Evans
Master Plan Review Commission
1215 Fifth Street, Second Floor
Sacramento, CA 95814

Dear Jerry:

This is a followup to my letter of November 26 which dealt with a possible additional option in Issue Paper No. 7 with regard to using the capacity of independent colleges and universities as an alternative to further expansion of UC and CSU to meet future enrollment growth. This letter is in response to your request for estimates of the independent sector's capacity to absorb such growth.

As you know, the presence of many variables makes the analysis of enrollment capacity necessarily imprecise. The analysis herein reported must be acknowledged as reflecting these imprecisions. However, we have examined extensive data in our office and on the basis of this study we estimate that:

1. The 60 AICCU member institutions could now accommodate approximately 19,000 additional California resident students without significant expansion of campuses or faculties;

2. Of the 19,000 student spaces approximately 2,900 would be freshmen;

3. Approximately 55% of both the total estimate and freshman estimate (10,450 and 1,595, respectively) would be eligible to attend the University of California; and

4. All would be eligible to attend the California State University.

It should be emphasized that the conclusions from our analysis indicated above are estimates only. Nevertheless we believe they constitute valid figures for general planning purposes and in particular for purposes of Issue Paper No. 7.

There are two key factors in the methodology which produced our capacity estimates. The first is the relationship of current enrollment to peak enrollment at each of our 60 institutions. We examined enrollment data for the ten year period, 1975-1985 and identified the peak

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enrollment (i.e., optimum capacity) for each institution. This process yielded a capacity to accommodate approximately 11,800 additional students as of 1985-86 of which an estimated 1,800 would be freshmen.

The second principal factor in the analysis is the relationship of California resident students to out of state residents at AICCU institutions. This part of the study revealed a decline of some 7,200 California resident students between 1975 and 1985, of which we estimate about 1,100 would be freshmen. Some of this decline can be attributed to the desire of some institutions to maintain a more diverse student body. However, there are strong indications that as the purchasing power of Cal Grant awards has declined, the tuition gap in California has widened, and the "take rate" in the pool of eligible students by UC and CSU has increased at the expense of the independents, our institutions have turned increasingly to non-Californians to maintain enrollment. Accordingly, we believe that the great majority of the 7,200 loss in resident students would be recovered under more favorable competitive conditions. Moreover, since non-residents are ineligible for Cal Grants and typically are less eligible for Federal student aid, they require more institutional aid and thus are more costly to institutions than California residents.

For these reasons our analysis assumes that a significant increase in the number of Cal Grants and in the maximum award would restore to California resident students most of the spaces lost to them, 1975-85, in independent California colleges and universities.

Finally, a comment on the indications of UC/CSU eligibility of the estimated capacity. Historically, some independent college and universities have competed principally with UC campuses. Others have competed more with CSU campuses. Our conclusion on the UC and CSU eligibility of the indicated student spaces is based on an examination of the admission standards of the AICCU institutions in relation to their respective capacity to accommodate additional California students.

I hope that this response will be useful to you. Hans Giesecke on our staff was the principal researcher in this matter. Please contact either Hans or me with any questions you may have.

Regards,

Bill

William J. Moore
President

cc: L. Kerschner; R. Remy

Appendices

A. NCHEMS Listing of Potential State Objectives Regarding Higher Education

B. Tennessee's Instructional Evaluation Schedule for Performance Funding

C. Assembly Concurrent Resolution No. 141 (Hayden) of 1986

APPENDIX A

Potential State Objectives Regarding Higher Education
National Center for Higher Education Management Systems

A. Provision of Educational Opportunity

1. Access/Participation.
   - o Reactive -- Those that want access are accommodated.
     Proactive -- Students with particular characteristics (ability, socioeconomic, demographic) are encouraged to further their education in the state's public colleges and universities.

2. Choice -- Students with particular characteristics are distributed within the system of institutions in desirable ways.

B. Achievement of Particular Student Outcomes

1. Acquisition of knowledge and skills, both general and specific (value added).

2. Certification
   - o General - A desirable proportion of the participants are retained in the system and become degree winners.
   - o Specific -- Students are graduated with degrees in particular fields.

3. Licensure -- Individuals are being licensed in partiuclar professions at a desirable rate.

4. Employment - Graduates are being employed in desirable industries or occupations or in priority geographic areas (such rural areas or inner cities).

C. Configuration and Quality of Programs and Institutional Resources

1. Existence of particular kinds of institutions in geographically desirable locations. Is the basic institutional structure of the state's higher education appropriate? Should all institutions be maintained? Should missions be changed?

2. Conformance to mission - Do programs fit intended institutional mission?

3. Student quality/institutional selectivity -- Are desirable admissions standards being maintained?

4. Institutional quality -- Is the effectiveness of the institution being maintained or improved?

5. Program quality -- Are desirable standards and curricula being maintained or developed in various programs and disciplines?

6. Resource quality.
    - Faculty
    - Facilities
    - Library
    - Equipment

7. Institutional viability (a composite). Do institutions have the financial resources to retain a critical mass of quality students, programs, faculty, and facilities?

D. Contributions to Specific Constituents

1. Employers - The provision of trained/retrained manpower, consulting, and other services.

2. Disciplines -- Research contributions to specifc or a broad range of disciplines.

3. State.
    - Service to state agencies
    - Economic development
    - Manpower to meet high priority needs (health professions, teachers, high-tech industry)

4. Special subpopulations within the state.
    - Indigent
    - Rural residents
    - Inner city residents
    - Agriculture or other specific industries

E. Efficiency Aims -- to accomplish all of the above with the least draw on the state treasury.

APPENDIX B

Tennessee's Instructional Evaluation Schedule for Performance Funding

Method Used to Calculate Each Institution's Performance Funding Ration, .979-80

Performance Variable	Maximum Points	Method of Measurement
Proportion of Eligible Academic Programs Accredited	20	Institution has less than 75% of eligible programs accredited (0 points); 75-90% accredited (10 points); 90-99% accredited (15 points); All eligible programs accredited (20 points)
Performance of Graduates on a Measure of Specialized or Major Field Outcomes	20	Institution has assessed performance of a representative sampling of graduates in one or more of its major programs within last 3 years (5 points); assessed representative sampling in the majority of programs within 3 years (10 points); assessed performance of representative sampling of graduates within past three years and can demonstrate that the performance of its graduates equal or exceed performance of graduates from similar institutions in majority of these fields (12-20 points)
Performance of Graduates on a measure of General Education Outcomes	20	Institution has assessed performance of a representative sampling of graduates on a pilot or one-time basis during last three years (5 points); on-going program to assess performance and has data available for more than one class during last 3 years (10 points); has assessed performance and can demonstrate that its graduates performed equivalent to graduates from similar institutions (15 points); has assessed performance and can demonstrate that graduates performed above graduates of similar institutions (20 points)

Evaluation of Institutional Programs and Services by Enrolled Students, Recent Alumni, Community & Employers	20	Institution has, for any year in past 3, conducted a survey of one referent group and can report results for a survey of graduates for one or two academic fields (5 points); survey of two or more referent groups for one or two academic fields (10 points); survey of one referent group with application to entire institution (15 points); survey of two or more referent groups with application to entire institution (20 points)
Peer Evaluation of Academic Programs	20	Institution conducted a formal evaluation of at least two major programs during last 3 years using team of scholars from other institutions outside the state or practicing professionals within a field (5 points); conducted at least 5 evaluations within last 5 years as part of ongoing program of peer review (6-15 points); demonstrated that one or more of its academic programs enjoy a favorable peer reputation outside the state (15-20 points)

Source: Tennessee Commission for Higher Education, "Allocation of State Funds on a Performance Criterion," pp.61-65.

The Instructional Evaluation Variables of 1979 Compared To Those Recommended For 1983

The 1979 Schedule	Points Possible in 1979	Points Possible in 1983	The 1983 Schedule
The Proportion of Eligible Academic Programs Accredited	20	25	Program Accreditation
Performance of Graduates on a Measure of Specialized or Major Field Outcomes	20	30	Program Field Evaluation A. Externally Validated Test,Locally Developed or Peer Review (20 Pts.) B. Improve Programs or Programs of Exceptional Quality (20 Pts.)
Performance of Graduates on a Measure of General Education Outcomes	20	40	Institutionwide Education Outcomes A. General Ed. Outcomes (20 Pts.) B. Placements in Vocational Fields (20 Pts.)
Evaluation of Programs by Students, Recent Alumni, and Employers	20	5	Instructional Improvements Based on Referent Group Survey (students, alumni, community leaders)
Peer Evaluation of Academic Programs	20	5	Planning for Instructional Program Improvement (submitting a plan with certain features)

Tennessee's Instructional Evaluation Schedule Applied to Two Percent of Each Institution's Educational and General Funds To Derive the 1979-80 Recommended Improvement Funds (Selected Tennessee Institutions)

Institution	Instructional Evaluation Schedule								
	Eligible Programs Accredited	General Education Outcomes	Specialized Field Outcomes	Student, Alumni, Employer Opinions	Peer Evaluation	TOTAL	1979-80 Educational & General Funds (estimated)	1979-80 Improvement Funds Possible (2%)	1979-80 Improvement Funds Recommended
East Tennessee State	10	0	0	20	10	40	$15,035,900	$300,718	**$135,323**
Tennessee State Univ.	14	0	5	10	5	34	$15,011,300	$300,236	**$102,080**
Chattanooga State Community College	16	0	5	15	0	36	$ 4,259,700	$ 85,194	**$ 34,930**
Tennessee Technological University	17	20	5	20	4	67	$12,344,400	$246,388	**$165,415**
Motlow State Community College	20	0	5	0	0	25	$ 2,044,300	$ 40,886	**$ 10,222**
Tri-Cities State Technical Institute	0	0	0	0	0	0	$ 1,514,900	$ 30,298	**$ 0**

Source: Tennessee Higher Education Commission, "Allocation of State Funds on a Performance Criterion," pp.70-71.

APPENDIX C

Assembly Concurrent Resolution No. 141

RESOLUTION CHAPTER 115

Assembly Concurrent Resolution No. 141—Relative to the study of talent development approaches for improving higher education in California.

[Filed with Secretary of State September 5, 1986.]

LEGISLATIVE COUNSEL'S DIGEST

ACR 141, Hayden. Education.

This measure would direct the California Postsecondary Education Commission to study talent development, value-added, and performance-based budgeting approaches to measuring and improving the quality of education, as specified. The commission would be assisted in its study by a Task Force on Value-Added Approaches to Higher Education, which would be appointed by the commission. This measure would specify the composition of the membership of the task force.

The measure would further direct the commission to submit a report on its findings and conclusions to specified organizations by March 1, 1987.

WHEREAS, The primary goal of every educational institution should be to improve and add to the intellectual and personal development of each student; and

WHEREAS, The ultimate measure of the effectiveness of an educational institution is the success of its students in acquiring knowledge, competencies, and skills in learning their meaningful application; in forming reasoned attitudes and in examining and adopting values; and in developing the capacity for further learning; and

WHEREAS, Educational institutions should have the capacity to create educational environments, teaching practices, and evaluative procedures which enable, stimulate, and encourage significant learning for students served; and

WHEREAS, The measures of quality in most colleges and universities often fail to evaluate the impact of the institution on the improvement of the individual students from entrance to graduation; and

WHEREAS, The State of California spends nearly five billion dollars annually on its system of higher education, but the budget formulas tend to be based more on enrollments and physical space needs rather than on rewarding institutions for improvement of student learning; and

WHEREAS, While every student has a certain amount of underdeveloped educational potential, California students appear to fall short of meeting their potential as evidenced by the need for a high number of remedial course offerings and inadequate student retention rates; and

WHEREAS, Many colleges and universities across the country are considering experimenting with "value-added" or "talent development" approaches to measure student growth and with budget formulas which recognize and reward institutional performance in these areas; and

WHEREAS, Future success in coping with California's critical problems through higher education will depend on the development of new partnerships and a more cooperative approach to common issues, such as transfer and minority student access and retention efforts, on the part of all segments of education, kindergarten through the university; and

WHEREAS, The public at large would benefit greatly and be well served by maximizing educational potentials and improving student performances; and

WHEREAS, California's Master Plan for Higher Education, which is currently under review and revision, creates a framework for discussing large-scale educational policy objectives; now, therefore, be it

Resolved by the Assembly of the State of California, the Senate thereof concurring, That the Legislature hereby directs the California Postsecondary Education Commission to survey other states, analyze relevant data, and make recommendations relative to talent development, value-added, and performance-based budgeting approaches to measuring and improving the quality of education; and be it further

Resolved, That the California Postsecondary Education Commission shall appoint and call on the assistance of a Task Force on Value-Added Approaches to Higher Education, which shall be composed of, but not limited to, a representative from the Higher Education Research Institute, and student, faculty, and administrative representatives from the University of California, California State University, the California Community Colleges, the California Maritime Academy, the Hastings College of the Law, and Scripps Institute, and shall extend an invitation to participate to private colleges and universities; and be it further

Resolved, That the California Postsecondary Education Commission shall submit a report on its findings and conclusions, and, if appropriate, the California Postsecondary Education Commission shall submit options for developing, implementing and measuring talent development, or value-added approaches to higher education, and performance-based budgeting incentives for encouraging the adoption of these approaches by public higher education institutions; and be it further

Resolved, That the California Postsecondary Education Commission shall submit this report to the Commission for the

Review of the Master Plan for Higher Education, the Joint Legislative Committee for the Review of the Master Plan for Higher Education, the Regents of the University of California, the Trustees of California State University, and the Board of Governors of the California Community Colleges, not later than March 1, 1987.

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ISSUE PAPER NO. 8*

VOCATIONAL EDUCATION AND TRAINING IN CALIFORNIA: COMMUNITY COLLEGES AND HIGH SCHOOLS; VOCATIONAL EDUCATION AND JOB TRAINING; TWO-YEAR AND FOUR-YEAR INSTITUTIONS; PRIVATE VOCATIONAL TRAINING; PLANNING AND EVALUATION; GENERAL AND SPECIFIC VOCATIONAL EDUCATION.

Introduction

When the current Master Plan for Higher Education was established in 1960, vocational education and job training were limited, and very little of it took place at the postsecondary level. As a result, the Master Plan said little about vocational education aside from affirming it as one purpose of the Community Colleges. Since then, the vocational enterprise has grown substantially, and a much larger proportion takes place in postsecondary institutions and programs that cater to adults. The causes of these changes include the expansion of federal funds for vocational education; the revision of the federal Vocational Education Act of 1963, 1968, 1976, and 1984; the expansion of the Community Colleges and their greater emphasis on vocational rather than academic courses; the development of manpower programs in the 1960s, leading to the Comprehensive Employment and Training Act (CETA) programs of the 1970s and the Job Training Partnership Act (JTPA) programs of the 1980s; the enactment of the California Employment and Training Panel (ETP) in 1983; and the apparent expansion of private trade and technical schools. Both government initiatives and the choices of students "voting with their feet" have been influential in this expansion and transformation.

As a result, vocational education and training take place in many institutions, with different target populations, different sources and mechanisms of funding, and different governing mechanisms -- a "system" difficult to understand and impossible to coordinate. The major institutions providing vocational education include high school programs for secondary students; the 67 Regional Occupational Centers and Regional Occupational Programs (ROC/ROPs), founded in the 1960s to provide regional vocational schools; the adult schools of both the high schools and the ROC/ROPs; and the Community Colleges, whose vocational enrollments have climbed steadily since 1960. Table 1 presents estimated enrollments in these programs:[1]

Table 1
ESTIMATED ENROLLMENTS IN VOCATIONAL EDUCATION AND TRAINING
1984-85

High Schools		
Grades 9-12	863,071	
Adult	3,315	
ROC/ROPs		
Grades 9-12	125,225	
Adult	25,324	
Community Colleges	973,087	(1983-84)
Proprietary Schools	467,588	(1983)
JTPA	157,065	(1984-85)
ETP	20,955	(1/83 - 6/84)

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*Prepared by W. Norton Grubb

(These figures must be interpreted with caution because they do not reflect the intensity of course-taking; some students take a comprehensive program of vocational courses, while others may take only a single course for avocational reasons.) However, an expansive conception of vocational education would also include professional programs in the California State University and the University of California, since it is often difficult to distinguish between courses in the two-year and four-year institutions in subjects like business, health, engineering, and computer programming.

Other public agencies provide more specific job training -- that is, short-term programs intended to prepare students for specific, narrowly-defined occupations. The largest job training programs are JTPA and ETP. Many other smaller programs offer some job training; examples include the Work Incentive Program (WIN) for welfare recipients, now being joined by the Greater Avenues for Independence (GAIN); vocational programs for the handicapped run by the Department of Rehabilitation; programs for inmates and incarcerated youth operated by the Department of Corrections and the California Youth Authority; and programs for youth run by the California Conservation Corps. In addition, the private sector provides a great deal of job training, in courses lasting from several weeks to several years. Estimates of enrollments and expenditures in these public and private job training programs are difficult to assemble, and it is hard to interpret such numbers because their purposes and duration vary dramatically, from short courses lasting a few weeks to the intensive residential programs of the Job Corps.

All participants agree that the current system of vocational education and training is characterized by a sense of chaos and ungovernability. This comes not only from the variety of programs, but also from their varied sources of funding and complex, often contradictory governance. High schools, ROC/ROPs, and Community Colleges are all governed by locally-elected boards; the state agencies responsible for these institutions -- the State Department of Education (SDE) and the Chancellor's Office of the California Community Colleges (COCCC), responsible to a Board of Governos (BoG) -- have no direct control over local boards and adminstrators, even though the state is now providing the majority of funds for vocational education. The various job training programs all have independent governing mechanisms, located in different state agencies, with coordination efforts ineffective and state control over local programs often weak. The private sector in job training is almost completely unregulated, and very little is known about its performance despite its size.

The result is a paradox: California's "system" of vocational education is complex, poorly coordinated, ungovernable, and therefore less effective than it could be, at the same time that education and training are crucial to the future of the state and the country. Most observers agree that the need for vocational education and job training will only increase in the coming decades, as occupations change and as California copes with continued immigration and a shifting population mix. While the reform of academic education has been a lively issue, vocational education and training are equally important for preparing a labor force that is competent, adequate to current demand, and flexible enough to respond to technological and economic changes.

This issue brief is concerned with options for reforming vocational education and training in Califronia in the interests of greater effectiveness. The most basic problem facing the Master Plan Commission is that of clarifying the responsibilities of different institutions for vocational education, a problem at the heart of the first four issues presented below. Improving the effectiveness of programs, the subject of the next four issues, is also crucial.

However, a revised vision of vocational education might help the Commission in weighing these issues. Rooted in changes at the turn of the century, vocational education has been dominated by high school programs, especially in agriculture, home economics, and certain trades more important in 1900 than they are now. Vocational education has generally been seen as decidedly different from -- and, unfortunately for all, decidedly inferior to -- academic education; and traditional programs have also been consistently criticized for providing overly-specific training, for failing to keep pace with changes in labor markets, and for substituting blind faith in vocational education for demonstrated effectiveness. A different vision might strive to provide vocational education in more flexible and responsive institutions, in ways that would reduce the division between academic and vocational education and prevent overly-narrow training. Finally, mechanisms to evaluate and improve effectiveness might rescue vocational education from the current suspicion that it is nothing more than a second-class education.

Issue 1: What public policy should the Commission recommend regarding the division of responsibility for vocational education between high schools and Community Colleges?

Background

Historically, the high schools have provided vocational education, partly with federal funds dating back to the Smith-Hughes Act of 1917. In the 1960s the Legislature created the ROC/ROPs, regional programs that could draw on students from surrounding high schools and thereby provide (in theory) vocational programs of greater variety and depth than individual high schools. Since attendance at ROC/ROPs is voluntary, these programs must persuade students and high school administrators of their effectiveness. There is no special state funding for vocational students in high schools aside from the state ADA payments for all students; but students in ROC/ROPs also generate ADA, so that the typical pattern -- attending a high school in the morning and a ROC/ROP in the afternoon -- can generate two ADAs from the state.[2] Attendance at Community Colleges is also voluntary, of course, and the relative increase in vocational programs compared to academic programs since the 1960s reflects the greater interest of students in job preparation.

The enrollment figures in Table 1 suggest that the high schools and Community Colleges are roughly comparable in their vocational programs, but there is less here than meets the eye. The high school enrollment figures include all students who take even one vocational course, and they suggest that two-thirds of all high school students are in vocational education. However, many of these students are taking a single typing course, or home economics, or auto mechanics for avocational purposes. National data indicates that there are very few vocational "concentrators" in the high school, and a great deal of aimless "milling around" and dabbling in vocational courses.[3] Similarly, enrollment figures suggest that almost 80 percent of Community College students take at least one vocational course, and about half are enrolled for vocational purposes; but only 36 percent of student contact hours are generated in vocational courses (since vocational students tend to take fewer credit hours than academic students), and only 41 percent of A.A. degrees are in vocational areas.[4] Still, there is no question that postsecondary vocational enrollments are substantial, and much greater than in 1960.

The rise of Community College vocational courses has caused a turf battle between the high schools and Community Colleges; in fact, this is the "sqeakiest wheel" in the entire vocational enterprise. The battle is partly over the division of federal funds. SDE has been designated the single state agency to receive federal funds; by interagency agreement SDE and COCCC must divide these funds between secondary and postsecondary programs. This division, which currently allocates 45 percent of federal funds to the postsecondary level, has always been a source of friction: SDE feels that postsecondary programs receive a higher proportion of federal funds than in most other states, while the Community Colleges argue that they are more effective and schould receive more federal funds. (In some states, all federal funds are allocated to the Community Colleges.)

Since federal funds now account for only 7 percent of secondary vocational funding and 4 percent of total postsecondary funding, this battle seems much ado about nothing. However, the division of federal funds has so tainted the relations between the high schools and Communtiy Colleges that cooperation and coordination are difficult to achieve. (To be sure, the battle is also over state revenue, since funding per student is more generous for postsecondary students.) In addition, both SDE and COCCC spend large amounts of time on federal compliance, neglecting more fundamental issues of what vocational education should do. Everyone describes federal funds with the same metaphor: "The tail wags the dog."

At the local level, relationships between high schools and Community Colleges appear mixed: In some areas Community Colleges, high schools, and ROC/ROPs have worked out a division of labor and mechanisms of coordination. In other areas general hostility prevails, with each level criticizing the effectiveness of other vocational programs and coordination absent. Furthermore, it has been impossible to force coordination at the local level through state initiative. The California landscape is littered with ineffective coordination mechanisms. The Joint Advisory Policy Committee of the State Board of Education and the BoG no longer meets because of hostility over federal funds; the Joint Staff Council for Vocational Education does little beside deciding how to split federal funds. Regional planning boards created in the early 1970s failed to get the cooperation of state agencies, and the Regional Adult and Vocational Advisory Committees (RAVACs) that superceded them caused such strife that they fell apart. The State

Council on Vocational Education (SCOVE) has consistently recommended coordination, but has no power other than its persuasiveness. Other mechanisms exist to coordinate vocational education and JTPA, but they are equally ineffective.

The current lack of coordination between high school and Community College programs makes it difficult to rationalize the vocational enterprise. The potential for coordination is substantial: high schools can send some of their students to Community Colleges; the two levels can cooperate in deciding which courses and programs each will offer; formal methods of articulation -- like the 2+2 programs in which students receive two years of vocational education in high school and then two years more, related to high school preparation, in a Community College -- have become popular, and the COCCC is supporting other models of articulating Community Colleges and high schools.* But given the existing antagonism at the state level and the ineffectiveness of coordintation councils, it is hard to know how state agencies could force cooperation on local colleges and high schools. The result is duplication of programs and inconsistency of offerings.

Issue Elaboration

Apart from turf battles, the real issue confronting the Master Plan Commission is whether high school or postsecondary vocational programs are more effective, or whether both should coexist. At the national level, the evidence suggests that high school vocational programs are generally *ineffective* in increasing the employment or the earnings of students, except for secretarial and clerical programs for women.[5] California data confirm these negative findings for high school programs, though there is no evidence on the ROC/ROPs.[6] At the postsecondary level the evidence is at least mixed, with some evidence of effective programs especially in technical areas.[7]

Even in the absence of conclusive evidence, there are strong reasons for thinking that postsecondary programs can be more effective than high school programs or ROC/ROPs. One involves age: Secondary programs send young people into the labor market at age 17 or 18, while many employers are reluctant to hire workers into "adult" jobs until they are in their early twenties. In contrast, Community College programs have older students for whom such age discrimination is not an issue. Second, many high school students in vocational programs take introductory courses and general-interest courses like career exploration. Even among those in the vocational tracks, only about 40 percent take enough occupationally-specific courses to have gained job-related skills; many students tend instead to "mill around" in the vocational curriculum, apparently unsure of their goals.[8] At the postsecondary level there is also considerable casual coursetaking and exploration of options; but many vocational students are already working and know exactly what they need when they return for additional schooling. Therefore the problem of unmotivated and indecisive students, so prevalent at the high school level, is much less serious in the Community Colleges.

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*It is important to recognize that 2+2 programs are neither the only nor the most important forms of articulation between high schools and Community Colleges. Given the small fraction of Community College students under 20 -- about 10 percent of enrollments -- and the dwindling numbers of high school vocational students, it is possible that 2+2 programs will never be very numerous.

Third, course offerings are much richer and more current at the postsecondary level. For example, one Community College in the Bay Area offered 17 different courses in electronics in 1984-85, ranging from an introductory course in "Fundamentals of Electronics" to "Applied Linear Amplified Analysis". The nearby ROC/ROP offered only Electronics Design and Manufacturing I and II and Electronics Systems Analysis and Repair I and II; a large comprehensive high school nearby had no course at all in electronics, and the most closely related course a student could take was in machine shop.[9] The charge that high school programs fail to change in response to labor market conditions has been repeated constantly; most high school vocational programs are still dominated by courses in woodworking, metal shop, home economics, clerical skills, and agriculture. Keeping current is also a problem for the Community Colleges, as discussed below, but compared to the high schools the Community Colleges seem to be relatively flexible institutions[10] able to adapt more readily to local needs and labor market conditions.

In many ways the ROC/ROPs seem to be intermediate between the high school vocational programs and the Community Colleges. They certainly do appear to provide broader offerings than high schools, more responsive to labor market conditions;[11] but their offerings are not as extensive or intensive as those of the Community Colleges. Unavoidably, their graduates are too young to enter "adult" positions, and they have been charged with preparing students only for the lowest-level, unskilled work. Above all, the original rationale for the ROC/ROPs -- to provide vocational education for a region (rather than a high school district) and to allow economies of scale -- is also true of the Community Colleges, in this sense the two types of institutions duplicate one another.

Policy Options

In its discussion during the December meeting,[12] the Commission favored the following option over the others presented.

Option 1: Recommend that the Community Colleges be given principal but not exclusive responsibility for vocational education, while the secondary schools provide more general and academic preparation for future participation in the labor market.

Giving the Community Colleges primary (though not exclusive) responsibility for vocational education would recognize and rationalize the changes that have taken place since 1960. Together with other improvements in planning and evaluation (outlined below), this change would help improve the quality of vocational training, and eliminate those ineffective high school programs that distract students from the more general education they should be pursuing. Exemplary secondary programs could then be revised to conform to this model of general preparation, or could be transferred into the Community Colleges. The mechanisms of achieving this reform could include designating COCCC as the single state agency to receive federal funds; providing funding and state leadership in devising more general forms of secondary vocational education; eliminating state funding for specific job preparation at the secondary level (including funding for ROC/ROPs); and perhaps recommending that specifically vocational programs at the secondary level be given less credit toward graduation and admission to higher education.

This option would not eliminate the role of the high school in vocational education. Rather, it would give the high schools greater responsibility for academic preparation for postsecondary vocational programs, like the sciences required for technical fields. It would also retain an important role for the high schools in career education and career exploration, in order to inform students about the options and difficulties they face in their working lives. Finally, a more general conception of secondary vocational education would promote the development of courses that integrate academic and vocational coursework, as is now being done in experimental interdisciplinary courses like "Principles of Technology."

Indeed, a more general conception of the high school's role in vocational preparation is consistent with calls for more general forms of education (reviewed below in Issue 6), and with the conceptions of more general vocational education recently espoused by Superintendent Bill Honig.[13] In addition, 2+2 programs -- which have already been supported by the Master Plan Commission (The Challenge of Change, recommendation 15) --retain an important role for high schools in preparing students for postsecondary vocational education. Other articulation mechanisms, including plans where well-prepared high school students take vocational courses in Community Colleges, could retain some vocational education at the secondary level.

This option would clearly place the responsiblity for coordinating secondary and postsecondary programs, and initiating new forms of coordination like 2+2 programs, on the Community Colleges. However, it would also give them the authority and the fiscal capacity to insure that coordination would take place, both of which have been missing in previous coordination efforts.

The possible roles of the adult vocational schools and the ROC/ROPs are more ambiguous. Given the small size of the existing adult vocational programs in the high schools and the ROC/ROPs, there is no reason why (if effective) they should not be folded into the existing Community Colleges; this would eliminate one source of duplication and confusion. The same is true of the ROC/ROPs: a decision to delay vocational education until the postsecondary years implies that the ROC/ROPs should be closed and their effective programs transferred into Community Colleges.

However, it probably would not be sensible to recommend closing the ROC/ROPs while allowing high school vocational programs to continue, since the ROC/ROPs are generally the most effective secondary programs.

This option would also require the Master Plan Commission to address more thoroughly the quality of Community College vocational programs. Subsequent issues pertaining to planning and evaluation (Issue 5), and general versus specific forms of education (Issue 6) are areas where an enhanced role for the Community Colleges should be accompanied by reforms to assure the quality of these programs.

Issue 2: What public policy should the Commission recommend regarding the relationship between vocational education and job training?

Background

A conventional distinction exists between vocational education and job training: Vocational education involves preparation of longer duration, with more general-purpose and academic content, preparing students for a broader variety of jobs. Job training, in contrast, is of shorter duration, with little or no academic material, designed to prepare individuals for narrowly-defined occupations and often for specific jobs with particular employers. Sometimes, vocational education is said to be for the benefit of the individual, while job training is said to be for the benefit of the employer. However, this distinction is hard to maintain because the JTPA program --usually considered job training -- has as its main goal the employment of disadvantaged and hard-to-employ groups, rather than the profits of employers. More generally, it is hard to imagine vocational programs benefiting students but not employers; conversely, programs benefiting employers but not students might not be appropriate instruments of public policy.

Another convention is that the Community Colleges emphasize vocational education, while JTPA and ETP offer job training. Again, the distinction is hard to maintain, because the Community Colleges have been offering more and more short-term courses for specific occupations and employers, including training carried out for the JTPA and ETP programs, "customized training" and contract training for specific employers. (Indeed, Community College administrators generally feel that these kinds of programs will increase in the future.[14]) In addition, students themselves can convert coherent programs ("voational education") into short-term programs ("job training") by taking only one or two courses necessary for their employment goals.

The expansion of manpower programs in the 1960s, and later CETA and JTPA, has generated new turf battles. The federal decision to develop these programs was implicitly a criticism of public schools, and manpower programs were somewhat suspicious of public education because the schools were thought to have failed many unemployed individuals. The CETA program often provided training through community-based organizations (CBOs) rather than educational institutions, on the assumption that CBOs would be more sensitive to individuals who had experienced failure in the schools. From their side, vocational educators have often resented training programs which partly duplicate what they offer, and they have made frequent attempts to have federal training funds administered by schools. In California, for example, the Ocucpational Education Coalition of the Community Colleges has recommended that "Community Colleges are the primary and presumptive provider of job training under JTPA."[15]

Relations between the Community Colleges, JTPA, and ETP vary enormously. In some areas hostility among programs is so great as to preclude any cooperation. In other jurisdictions there appears to be fruitful collaboration. In these Service Delivery Areas (SDAs), many JTPA clients receive their training in Community Colleges; if they can enroll in existing courses instructional costs are covered by regular state ADA payments to Community Colleges, while JTPA funds can be used to cover unusual costs like assessment, counseling, or higher costs in smaller classes. (A similar mechanism has sometimes been used for ETP as well.) If JTPA clients need remedial courses, these can be taken in the same institution. This kind of cooperation is interesting because of its ability to respond to various needs of JTPA clients. It also operated to convert what is nominally a federal program into a federal-state program, with federal and state funds supporting different aspects of an individual's preparation. However, JTPA and Community College data are so inadequate that no information is available on how many JTPA clients are served in this way, though COCCC has begun to collect information on this.[16]

As in the case of high schools and Community Colleges, there are no effective mechanisms for forcing SDAs and Community Colleges to cooperate more effectively. Federal legislation for vocational education and JTPA require various mechanisms of coordination, but these are formal procedural requirements that have little effect on relations between hostile agencies.[17] Since state control over local Community Colleges is weak, and since California has developed a decentralized JTPA system, there are no mechanisms by which state agencies can induce or coerce local cooperation. There are some federal funds which are set aside explicitly to encourage cooperation between JTPA and schools -- the so-called eight percent funds; and most local managers of JTPA and education programs agree that these funds have helped with coordination. However, some claim that these coordination funds have simply augmented regular SDA funds, and in any event half of these eight percent funds have recently been allocated for the GAIN program, further reducing the resources for coordination.

Aside from turf battles and the lack of resources, several other barriers inhibit cooperation between vocational education and job training programs. One is a difference in goals: The JTPA program (much more than its predecessor, CETA) and ETP emphasize short-term, specific training oriented to job placement, providing minimal services and spending as little time and money as possible. Vocational educators, and the Community Colleges in particular, aspire to provide more comprehensive services and more general preparation, and measure their success in terms of personal competencies. In addition, the contracting mechanisms in JTPA and ETP emphasize performance-based, fixed-cost contracts, where providers are reimbursed when clients find employment; some Community Colleges have been reluctant to assume the risk that this funding mechanism entails.[18]

In the ETP program, a further problem has arisen because of the lack of coherent policy, clear guidelines, or consistency around the state -- all of which have discouraged some Community Colleges from participating.[19] ETP administrators also appear to prefer employer-based training, rather than working through colleges or other training institutions, since employers are happier and administration is simpler.

Any barriers to cooperation between JTPA and the Community Colleges exist at the state level, not in federal legislation. While JTPA gives governors broad powers to shape the program, California has a more decentralized program than most other states. The Governor could take steps to have more centralized control of JTPA, and therefore a more coherent state policy on coordination of JTPA training and Community Colleges. Similarly, the ETP program is wholly state-funded, and could be better integrated with vocational education as a matter of state policy.

Issue Elaboration

The most important issue underlying the turf battles between vocational education and job training programs is that of effectiveness. The Community Colleges argue that they can provide better programs. They also argue that the colleges can provide a broader and more systematic education, while job training programs may be too narrow; for example, the employer-based training preferred by ETP may provide little more than public subsidies for private training that would take place anyway. Conversely, managers of local training programs complain that the education system is not performance-oriented, and too slow to respond to changing needs and short-term training demands.

However, there is very little systematic information about the effectiveness of different JTPA and ETP programs, too little to know whether community-based organizations, Community Colleges, employers, or some other agencies provide the most effective programs. Certainly there is no information to justify the claims that Community Colleges should run all job training programs; the goals of diversity and flexibility argue that SDAs and ETP should have broader options. On the other hand, Community Colleges appear to be providing an inceasing fraction of JTPA training; and some characteristics of the Community Colleges make them appropriate for certain types of training, especially their ability to tap other state resources and to provide remedial education and related academic training.

Policy Options

Option 1: Recommend various mechanisms to coordinate the Community Colleges and job training programs, but without changing governance mechanisms.

There are several different types of coordination mechanisms which could be considered. Some of them (in Option 2A) can be easily undertaken; others (like 2B) would require more extensive cooperation, while Option 2C would require a lengthy process of establishing political consensus and forging state policy in a difficult area.

1A: Recommend strengthened coordination councils at the state and local level; funds to support innovative programs which combine the best aspects of exisitng job training and vocational education programs; funds to provide more technical assistance to Community Colleges in applying for job training programs; and studies of which providers of job training are most effective, to provide better knowledge of what use job training programs ought to make of Community Colleges.

1B: Recommend an integrated system of planning, evaluation, and data collection for the Community Colleges and all job training programs.

Integrating planning and evaluation systems is a rather different way of coordinating programs. Such a recommendation would force the Community Colleges and job training programs to cooperate, if only on the process of devising common procedures. In addition, by providing standardized information on training needs and effectiveness, integrated data and evaluation mechanisms would satisfy the right of the legislature and the public to know what happens in various programs, and would provide the information necessary for coherent state policy on the links between JTPA, ETP, and vocational education.

1C: Recommend that the COCCC and the major job training programs collectively develop a state policy, subject to the review of the Legislature.

This policy would recognize and rationalize the fact that JTPA has become, in some jurisdictions, a joint federal-state program with state funds supplementing federal funds, and the ETP program is also a state program -- but without any coherent policy on the integration of job training programs and vocational education.

Option 2: Recommend to the Legislature and the Governor changing the governance of job training programs and the Community Colleges, in part to force coordination.

Such changes could include recommendations that the JTPA program be more centralized; revision of the ETP legislation to provide a greater role for Community Colleges; greater centralization of the Community Colleges themselves; giving the Community Colleges responsibility for job training programs; or creation of a super-agency to include all job training as well as vocational education programs (as mentioned in Issue 1). Rather than using the power of persuasion and funding to induce coordination, this option would integrate the administration of job training and vocational education.

Issue 3: **What public policy should the Commission recommend regarding the responsibilities of the Community Colleges and the four-year institutions for vocational and occupational programs?**

Background

Currently, the most troubling issue between the two-year and four-year colleges involves academic education and the transfer function of the Community Colleges. (See *The Challenge of Change*, pp. 8-9.) However, there are potential conflicts in the area of vocational and occupational training that may emerge in the future, and the Master Plan might provide a structure for anticipating such problems.

Four-year institutions provide majors in areas similar to those offered in the Community Colleges: both levels provide a variety of business and management courses, programs specific to certain sectors like real estate and hotel and restaurant management, preparation for various health occupations, training for electronics technicians, engineers and engineering technologists, and courses for computer programmers. These offerings are supposed to be distinguished both by the level of instruction and the status (and pay) of the occupations for which the different colleges prepare students: conventionally the Community Colleges train technicians, technologists, and semi-professionals, while the four-year institutions train engineers and professionals.

The 1960 Master Plan tried to differentiate the programs of two-year and four-year colleges, but this delineation has not worked well. Offerings in two-year colleges and those in four-year institutions overlap, and there are reasons to think that turf battles between the two may grow more serious in the future. First, there will be competition for postseoncdary students in the coming decades, and such competition always leads to creative program development to attract more students. Anecdotes about four-year institutions developing programs to compete with successful two-year college programs abounds, and conversely the two-year institutions have sometimes been accused of trying to strech out their programs by developing three-year programs to compete with the California State University.

Second, a process of educational inflation has taken place at least since the turn of the century, in which education levels increase faster than job requirements. This process has been driven by students, trying to obtain better credentials to improve their position in the labor market; by educators trying to increase their enrollments and the status of their programs; and by professional associations and accrediting agencies, trying to increase the status and pay of their members. The efforts of Community Colleges to lengthen their programs and of the four-year colleges to attract more students are examples of this process at work. Educational inflation is expensive, however, since students must stay in school longer; furthermore, it may undermine the quality of education if institutions increase enrollments without considering how much learning takes place.

Issue Elaboration

If the education "market" worked perfectly, then competition between two-year and four-year institutions could be allowed to operate freely. Students could then choose between shorter programs in Community Colleges and longer programs in four-year colleges, presumably leading to jobs of higher status and pay. However, there is almost no information on the employment consequences of occupational programs at different levels, and so there is little reason to think that students can make well-informed decisions about which programs to enter. Furthermore, the State of California (rather than students) pays for the direct costs of a competitive higher education system, in contrast to conventional markets in which the costs of competition are borne privately. There are good reasons, therefore, for the state to be concerned about competition between two-year and four-year colleges in the vocational/occupational area.

At the moment, there is no mechanism which can assess the extent of such competition and evaluate what level of education is appropriate to a particular occupation. Each sector maintains an office to approve courses and programs, but these are not responsible for coordinating programs across the sectors. In many cases, these offices seem to approve programs automatically, without examining labor market conditions, occupational requirements, and related programs in the same area. The California Postsecondary Education Commission has an office which reviews the program approvals of the different sectors, but this office has only advisory powers. CPEC has decided that program review is an activity of low priority, and so the resources in this office are insufficient relative to the volume of approvals it receives.

Policy Options

In its previous deliberations, the Commission favored the following option. The possible options of taking no action on this issue or of creating a program review office with powers of approval and disapproval (rather than advisory power) received little support.

Option 1: Recommend that the program review office of CPEC be strengthened specifically to include the capacity to review vocational and occupational programs in the two- and four-year institutions.

The purpose of CPEC review would be to make sure that information about labor market patterns, the requirements of occupations, licensing requirements, and program offerings in other institutions is considered when decisions are made about vocational programs. To have any effect, both existing as well as new programs should be reviewed by this office. However, it must be remembered that the program function of CPEC is purely advisory, and the individual segments could continue to approve programs on their own.

Issue 4: What public policy should the Commission recommend concerning private vocational training?

Background

A large amount of vocational training is provided by private trade and technical schools. Most of them grant certificates and licenses, rather than degrees. Currently, there are approximately 2,300 private vocational schools licensed or approved by the State of California; while there are no authoritative enrollment figures, knowledgeable observers estimate that they enroll roughly 450,000 students.[20] The majority of these schools operate in technical areas (e.g., trade schools in electronics or welding), business, and cosmetology; schools to train health technicians and computer-related schools are also numerous. The variety of these schools is enormous, and even their supporters acknowledge that the variety in quality is equally great. Some proprietary schools are acknowledged to be the best in their fields, with national reputations and floods of applicants; others are very weak.

The numbers of proprietary schools are thought to have increased in the past fifteen years. Their advocates point out that without these schools the public vocational education system would be inundated with more students than it could handle, implying that the public interest is best served by fostering a healthy private sector. In addition, they stress the values of flexibility and variety, and argue that competition means that only the most effective programs can survive. Inevitably, however, these schools compete not only with each other but with the Community Colleges: in one survey about one quarter of proprietary schools mentioned Community Colleges as their chief competitors,[21] and the colleges in turn have complained about trade schools that are virtually ungoverned and entice uninformed students into worthless programs.

Currently there is little state influence over proprietary vocational schools. Some schools are licensed by private licensing agencies; some are accredited, again by organizations that are private (although registered with the U.S. Department of Education), and are eligible for student aid through federal programs and the Cal Grant Program. The remainder are "approved" by the Private Postsecondary Education Division (PPED) of SDE, which requires schools to state their curricula, faculty, and facilities. PPED can investigate complaints about schools and issue notices of violations, but these are rare. The only other mechanisms of public control are state occupational licensing boards, which require licenses for some occupations. Licensing boards could in theory deny licenses to students from certain schools, though in practice occupational licensing has not been used to scrutinize the quality of training. Finally, California provides some funding to students in private trade schools through the Cal Grant program, though the amount is small.

Issue Elaboration

In a free market in education, with fully-informed "consumers" (students and employers), there would be little reason for the state to intervene into private trade and technical schools: students would choose among public and private programs with full understanding of their costs, time, and employment prospects, and employers would be similarly informed about the capacities of graduates. However, in the absence of good information, the free market model falls apart, and both students and employers may be misled. There is even less information about the employment effects of private trade and technical schools than there is for public vocational programs.[22] While some schools are required by their accrediting agencies to post placement rates, presumably to inform prospective students about effectiveness, the methods for calculating these figures are unclear, and indeed the notion of what a placement rate measures is ambiguous.[23] To be sure, some private schools have enormous reputations, and in this case there is every reason to think that students are well-trained and highly employable when they complete the program. But for the majority of schools no such information is available; the corollary of the free market in vocational education is the traditional warning, *caveat emptor*.

Policy Options

Option 1: *Recommend that private vocational programs be recognized as a "fifth segment" of postsecondary education in California, analogous to the private colleges and universities.*

This option would recognize the reality that private institutions provide a great deal of vocational education and job training, and serve both students and employers just as public programs do. Recognizing private vocational institutions as a "fifth segment" in turn suggests a greater public role in providing information about this sector.

1A: *Recommend additional studies of the private vocational schools, to remedy the current ignorance about this sector and to examine more carefully the policy options the state faces.*

Among the studies that might be useful would be one exploring the state's options in regulating private vocational education, including the alternatives of more stringent regulation, the coordination of such regulation with occupational licensing, and the location of regulatory functions in a different agency.

1B: *Recommend that private vocational institutions be required, as a condition of being accredited, licensed, or approved in California, to particiapte in a state system of student data collection.*

This would provide a way of gaining information about this sector and of comparing indicators of effectiveness with those from public vocational programs. (See Issue 5 below.)

Issue 5: What public policy should the Commission recommend to enhance the planning and evaluation of existing vocational programs?

Background

Vocational education is in one sense easier to evaluate than academic education. While there are moral, political, and avocational purposes in vocational education, the goal of preparing students for the labor market is dominant. However, vocational educators operate in a difficult environment: they can never assume (as academic educators sometimes can) that the simple acquisition of more training ("seat time" or "bench time") confers status and enhances employment, and they must respond to a labor market that is ever-changing, unpredictable, and beyond their control. Only effective planning and evaluation can assure that the economic goals of vocational programs are met.

Planning and evaluation encompass various activities. One is the assessment of labor market demand, based on surveys and projections of labor markets and information from employers, to be sure that vocational programs are preparing students for occupations where demand is substantial enough to absorb graduates. Another is curriculum planning, to be sure that programs teach the capacities and skills required on the job (rather than job skills that are obsolete, or trivial, or likely to become outmoded, or that are used by only a few employers). A third is student assessment, to be sure that students have learned the skills taught. A fourth, in some ways the most difficult, is student follow-up, to examine the placements, employment patterns, and earnings of students (both completers and noncompleters) -- rather than relying on anecdotes and personal stories as evidence of effectiveness. There are many mechanisms of planning and evaluation, including labor market surveys, employer surveys, advisory committees, coordination councils, formal methods of curriculum planning, and student follow-up surveys. A great deal of planning and evaluation must be done at the local level, especially in a state as large and varied as California, since few vocational programs operate in a statewide labor market.

Given the centrality of the Community Colleges to vocational education, the reform of planning and evaluation should probably focus on those functions in the Community Colleges. Because evaluation and planning are currently local responsiblities, there is great variation around the state in the quality of such efforts. Some colleges engage in careful planning and serious follow-up studies, and are constantly trying to improve their procedures. Others produce district plans for vocational education that are little more than compliance documents, establish district-wide advisory committees that can provide little information about specific programs, and perform evaluations that are really "self-study" procedures with no independent validation or objective data on program effectiveness. Indeed, every major review of vocational education in the Community Colleges has faulted the variation in planning and evaluation procedures at the local level.[24] Even the most outspoken and articulate defender of Community College vocational programs -- the Occupational Education Coalition -- has acknowledged that information on employment needs and student outcomes is often missing, and that improvements in planning and evaluation are necessary.[25]

To be sure, state efforts to improve planning and evaluation have been increasing. The Chancellor's Office has supported the development of the Student Accountability Model (SAM), to categorize vocational courses according to their occupational spcificity and allow colleges to identify student "majors" in different occupational areas; however, this model does not follow students after they leave college, and its use in planning or evaluation is limited. The Chancellor's Office has also funded a study to develop a student follow-up procedure; fourteen colleges have so far pilot-tested this model,[26] and the Chancellor's Office has tried to make resources available to assist colleges in implementing the system. In addition, an assessment program designed to help local colleges evaluate the quality of their vocational offerings through questionnaires to administrators, instructors, students, and employers has been developed, and will be pilot-tested in Spring 1987.[27] These are more promising ways of improving evaluation. CPEC has supported a study of the high school class of 1983, but it is designed to examine paths through postsecondary education and not the links between education and subsequent employment.

In other respects, the local colleges have been on their own. Neither the Chancellor's Office nor CPEC has provided encouragement, technical assistance, or funding to improve planning. The California Occupational Information Coordinating Committee (COICC), which in theory provides labor market information that local programs can use in planning, is generally thought to be ineffective. As mentioned above, the information available in the JTPA system is poor, hampering coordination between the Community Colleges and job training.

Certainly, good planning and evaluation can be time-consuming and expensive. They require resources to be set aside specifically for these purposes. Otherwise planning and evaluation requirements become compliance exercises, as they often are in federal programs. The current lack of adequate planning and evaluation and the lack of reliable information are not simple oversights but instead are symptomatic of education and training systems which have emphasized expansion and service delivery over accountability and performance.

Policy Options

Option 1: Recommend the funding and development of planning and evaluation procedures for all Community College vocational education, emphasizing the articulation of vocational programs with local labor markets.

These procedures should be initiated at the state level. There are several important elements; for example, the current efforts of the COCCC could be expanded to provide additional labor market information, models of planning and evaluation, follow-up procedures, more serious program review (including mechanisms for eliminating ineffective programs), technical assistance, and some cetralized operations (e.g., data processing). However, planning and evaluation procedures have to be carried out locally, not at the state level.

To be sure, planning and evaluation should be improved for both academic and vocational education. However, there are special problems in examining vocational programs -- especially the links to labor markets and the measurement of outcomes -- that may be overlooked unless planning and evaluation specifically for vocational education are strengthened. Thus this option is consistent with the Commission's earlier recommendation for the mandatory program of assessment, counseling, placement, and follow-up (The Challenge of Change, recommendation 3), but is more specific to the requirements of vocational programs. It is also consistent with recommendation 32, to establish evaluation programs for vocational students.

Option 2: Recommend the development of a more comprehensive system of planning and evaluation, one that would integrate the planning for the Community Colleges, the occupational programs of the four-year institutions, and job training programs like JTPA and ETP.

Such an effort would have to be conducted either by an independent agency (like CPEC) or by a super-agency, if one were created; simple coordination of different planning and evaluation mechanisms might not work well, given the different goals of various programs. Such an integrated planning mechanism would help with the coordination of vocational education and job training (see Issue 2) and of high schools, two-year colleges, and four-year institutions (see Issues 1 and 3), by preventing duplication and enhancing articulation at the stage of planning programs, rather than trying to coordinate programs after they are established. The comprehensive system would also collect follow-up data on students from all institutions of higher education (including private academic and vocational institutions); the Center for Statistics of the U.S. Department of Education is now planning an Integrated Postsecondary Education Data System (IPEDS) for all forms of higher education, which could provide some guidance in designing such a system.

Issue 6: What public policy should the Commission recommend regarding the balance of general and specific education in vocational programs?

Background

A consistent criticism of vocational education has been that it provides skill training which is too narrow, and too specific to particular occupations.[28] Overly-specific training has been faulted for two somewhat different reasons. First, in an economy that is changing rapidly, specific training is likely to become obsolete as the requirements for occupations change, and as some occupations decline and others rise. In such a world, the most valuable capacities include the ability to respond to change, the facility to learn quickly, and the basic skills necessary for retraining.

Second, many observers have argued that the jobs of the future -- particularly in high-technology sectors, and in many other jobs that are transformed by new technologies -- will require different capacities than the craft and production jobs of conventional manufacturing: greater flexibility; better problem-solving abilities; more independent thought; the capacity to work in interdependent production processes in which teamwork and employee involvement are crucial. Therefore narrow conceptions of vocational education seem inadequate to future demands on the education system. As the Committee for Economic Development stated this position recently:

> Business in general is not interested in narrow vocationalism. In many respects, business believes that the schools in recent years have strayed too far in that direction. For most students, employers would prefer a curriculum that stresses literacy, mathematical skills, and problem-solving skills; one that emphasizes learning how to learn and adapting to change... We believe that the mission of vocational education needs to be redefined and that the entire vocational system should be drastically overhauled.[29]

One important cause of overly-specific forms of vocational education has been the split between academic and vocational education. This split has allowed vocational programs to develop in isolation from courses in basic cognitive skills. One remedy is to develop more general forms of vocational education in every way possible. The Unfinished Agenda, a strong defense of high school vocational education, called for "programs and experiences that bridge the gap between the so-called 'academic' and 'vocational' courses;"[30] The American Association of Community and Junior Colleges has proposed a "two-tiered education/training package," with the first tier stressing math, science, communications, analytical and reasoning skills.[31] The 2+2 plan can be interpreted as another effort to broaden vocational education: high school juniors and seniors take science, math, and literacy-related courses oriented around clusters of careers, developing broad competencies and avoiding narrow job training, and leaving technical and specific courses to the postsecondary years.[32] The emphasis of State Superintendent Bill Honig on academic skills as prerequisites for jobs is a similar effort to redefine education for vocations.

At the same time, other forces continue to push vocational education in the direction of specific training. One is the expansion of short-term job training, employer-based training, and contract education in the Community Colleges. A second is the tendency of many students in the Community Colleges -- especially many older vocational students -- to take a few courses and then return to work, rather than completing a coherent program; indeed, this may be the most serious problem facing the Community Colleges. Another is the role of proprietary schools; when Community Colleges establish broader programs of education, they can count on competition from proprietary schools offering shorter, more specific programs which seem more relevant to jobs. A fourth is the emphasis in JTPA and ETP on short, job-specific training and narrow standards of accountability. Yet another is the JTPA model of governance by Private Industy Councils (PICs), dominated by members from private industry; such councils can (though they need not) direct training in more specific directions if they focus too much on the training needs of local businesses.

Above all, the business community is itself divided. While national leaders of leading corporations call for broader education and condemn "narrow vocationalism," local businessmen often press for more specific training, and employers don't care much about higher-order thinking when they hire workers for jobs requiring a high school degree or some college.[33] The tension between general and specific forms of vocational education persists, therefore, despite recent efforts to promote more general forms of vocational education.

To be sure, not all occupations require a broad education or "higher-order thinking." Areas like truck driving, barbering, some construction trades, and service occupations like dry-cleaning may require nothing more than short-term programs with certificates to indicate completion, rather than a two-year A.A. program with appropriate academic background. Furthermore, many students take only a few courses (rather than an entire vocational program) for the best of reasons, including filling in gaps in their education. The important issue is that a mechanism be in place to determine when more general education is and is not appropriate.

Issue Elaboration

The split between academic education and vocational education is an old one. It reflects deep differences in the status of jobs for which vocational education and academic education have traditionally prepared students, as well as loyalties to different groups of students, different modes of teaching, and different goals for education. There is blame for this split on all sides: academic educators have often denigrated vocational education as a low-status dumping ground, and vocational educators in turn have attacked academic education as elitist, useless, and irrelevant. Within the Community Colleges, vocational educators have sometimes been made to feel like intruders on academic terrain, while the expansion of vocational courses has caused resentment from academic faculty losing their students. Many academic educators feel that vocational education is unaccountable and "out of control," partly because of the independence that federal funding provides. The split between the vocational and the academic sides is especially serious within the COCCC.

Healing this split and developing more general forms of vocational education is difficult under the best of circumstances, though there are positive signs. Within the last five years vocational educators have begun participating in the Academic Senate of the Community Colleges, and in some districts -- especially those whose leaders are concerned about integrating the vocational and academic sides -- the split appears to be minimized. Further integration can probably not be forced or required, but it may be possible to nurture this integration from the state level by supporting experimental programs, disseminating information about model programs, providing technical assistance and educational leadership.

While it may be difficult to heal the split between academic and vocational education, it is easy to widen this division, particularly by separating academic and vocational education and making the bridge between the two more difficult. Four examples of such separation will suffice. One is the expansion of contract education and other short-term job training in the

Community Colleges. Another is the development of job training in programs like JTPA and ETP with only tenuous connections to educational institutions; providing such job training within Community Colleges promises a partial remedy of this problem.

A third potential source of division is the proposed Associate of Applied Science (A.A.S.) degree. This degree has been promoted by some as a way to enhance the status of vocational programs; however, it has been almost universally rejected by Community College faculty and administrators in California on the grounds that it would be a second-class degree. A rather different objection is that a separate vocational degree could only widen the split between academic and vocational programs by fostering different degree requirements. A similar potential problem is the creation of technical institutes with vocational programs only. Such institutes would again divide vocational and academic efforts, contrary to the trend of American education (in both the comprehensive high school and the comprehensive Community College) to create institutions in which academic and vocational education are combined. The Master Plan Commission might want to reexamine its earlier support of the A.A.S. degree and technical institutes, given their potential for widening the split between academic and vocational education.

Policy Options

Option 1: Recommend that the institutions responsible for vocational education -- especially the Chancellor's Office of the California Community Colleges -- establish policies on the occupations for which relatively specific, short-term certificate programs are sufficient, and those for which more general, longer-term programs (like A.A.-level programs) are appropriate.

This option would help remedy the current lack of attention to the balance of general and specific education.

Option 2: Support the development of more general forms of vocational education where appropriate, specifically by recommending funding for experimental programs (including two-tier programs, 2+2 models, and other similar efforts) and for dissemination of research and information about model programs.

This option is consistent with the Commission's earlier support for a core curriculum in the Community Colleges (*The Challenge of Change*, recommendation 8, 11, and 12), but would go beyond this recommendation in searching for other ways of integrating academic and vocational education.

Option 3: Recommend that the Chancellor's Office of the California Community Colleges (and CPEC) monitor the development of short-term job training, contract education, employer-based training, short-term enrollments, and other forms of specific training in the Community Colleges.

The purpose of this option is both to examine where more basic academic education is necessary and to consider whether limits on such specific training are appropriate. One issue in particular that merits further attention is whether the common practice of vocational students taking a few courses and then returning to work meets their employment needs or not.

The Commission has previously supported contract education (The Challenge of Change, recommendation 20). While the Commission may want to reaffirm its support for such programs, it might also want to provide a mechanism for monitoring such programs and preventing abuses. Evaluation of the effectiveness of such short-term training, in contrast to broader forms of vocational education, would be especially important.

FOOTNOTES

1. Most figures are from William Piland, "Vocational Education and Employment Training in California," Background Material prepared for the Commission for the Review of the Master Plan for Higher Education, December 1986, Tables 1-4 and 2-1. These enrollment figures, generated from CBEDS Vocational Education Data, represent a "snapshot" or count of students at a particular time and should, therefore, reflect unduplicated enrollments (since adult education classes do not typically begin and end on a semester basis). Counting all students who ever enroll in vocational programs during a year gives much higher but misleading figures, since many students would be counted more than once.

2. One ADA is generated by every 525 hours of attendance, so three hours per day for 180 days generates another ADA.

3. E. Gareth Hoachlander and Susan Choy, *Classifications of Secondary Vocational Education Courses and Students*, MPR Associates, Berkeley, Nov. 14, 1986.

4. Carvell Education Management Planning, *Pathways to Progress: A Comprehensive Study of Vocational Education in California Community Colleges*, March 1986, Part IV.

5. On the effects of vocational education, see Robert Meyer, "An Economic Analysis of High School Education," in National Commission for Employment Policy, *The Federal Role in Vocational Education: Sponsored Research*, November 1981; John Grasso and John Shea, *Vocational Education and Training: Impact on Youth* (Berkeley: Carnegie Council on Policy Studies in Higher Education, 1979); Thomas Daymont and Russell Rumberger, "The Impact of High School Curriculum on the Earnings and Employability of Youth," in Robert Taylor, Howard Rosen, and Frank Pratzner, *Job Training for Youth* (Columbus: National Center for Research in Vocational Education, 1982).

6. David Stern, E. Gareth Hoachlander, Susan Choy, and Charles Benson, *One Million Hours a Day: Vocational Education in California Public Secondary Schools*, Report to the California Policy Seminar, University of California, Berkeley, June 1985.

7. For positive evidence on Community College programs, see Larry Blair, Michael Finn, and Wayne Stevenson, "The Return to the Associate Degree for Technicians," *Journal of Human Resources* 16 (Summer, 1981); and Harry Heineman and Edward Sussna, "The Economic Benefits of Community College Education," *Industrial Relations* 10 (October, 1977). Both of these are based on special samples of limited generalizations. For negative evidence, see David Breneman and Susan Nelson, *Financing Community Colleges: An Economic Perspective* (Washington, DC: The Brookings Institutions, 1981); Wellford Wilms and Stephen Hansell, "The Dubious Promise of Post-Secondary Vocational Education: Its Payoff to Drop-Outs and Graduates in the U.S.A.," *International Journal of Economic Development* 2 (1982); and Fred Pincus, "The False Promise of Community Colleges: Class Conflict and Vocational Education," *Harvard Educational Review* 50 (August, 1980).

8. Hoachlander and Choy, *Classifications of Secondary Vocational Education Courses and Students*, Table 4.

9. Stern et al., *One Million Hours a Day*.

10. Berman, Weiler Associates, *A Study of California's Community Colleges*, prepared for the California Roundtable, April 1985, p.31.

11. See, for example, Assembly Office of Research, *Training Tomorrow's Workers*.

12. The other options included new coordination mechanisms; a superagency to control both secondary and postsecondary vocational education; designating some agency other than SDE or the Community Colleges as the agency to administer federal funds; and the status quo.

13. Bill Honig, "Career-Vocational Preparation," address before the California Association of Vocational Administrators, Oct. 9, 1986. See also the "Report to California State Superintendent of Public Instruction Bill Honig," Superintendent's Vocational-Technical Management Advisory Committee, Jan. 1986.

14. *Pathways to Progress*, Vol. 2, p. 4-13.

15. See Issue Briefs No. 8 and 11 of the Occupational Education Coalition, reported in *The News*, California Association of Community Colleges, Jan. 1986.

16. Some information comes from the *Study of Contractual Education Programs in the California Community Colleges*, Arthur Young & Co., June 1986. If the data in this report are reliable, then 85% of the contracts for training between 1982-83 and 1984-85 came from public training funds including JTPA and ETP, amounting to $36.7 million over these three years. Since the annual budget for the Community Colleges is over $2 billion, this suggests that the amount of JTPA and ETP funds is relatively trivial. However, there are reasons to think that this report seriously understated the extent of such training programs.

17. The Carl Perkins Act requires coordination between JTPA and vocational education, principally by requiring that one member of the State Council on Vocational Education be a member of the State Job Training Council, and that the State Council on Vocational Education report on JTPA-voc ed coordination. JTPA requires the State Job Training Coordinating Council (which includes education officials) to develop coordination criteria for state and local planning, and SDAs must deliver plans approved by all local employment and training institutions. For more information about voc ed-JTPA issues, see Dale Rezabek and A. Christine Saul, "Preparing Californians to Work: A Local Perspective on JTPA and Education Coordination," California State Council on Vocational Education, August 25, 1986.

18. On the barriers to cooperation, see Rezabek and Saul, "Preparing Californians to Work."

19. On the problems with ETP, see the Legislative Analyst, A Review of the Employment Training Panel Program, April 1986.

20. The counts of private trade and technical schools come from statistical reports of the Private Postsecondary Education Division, State Department of Education. The estimate of enrollments comes from John Peterson, head of that division; in addition, a figure of 467,588 enrollments in 1983 comes from Wellford Wilms, "Private Training and the Public Interest: A Study of California's Proprietary Vocational Schools," Santa Monica, Training Research Corporation, April 2, 1984.

21. Wilms, "Private Training," Table 9.

22. For example, the placement rates reported in Wilms, "Private Training", are estimates provided by proprietary school administrators, and there is every reason to think these are overstated.

23. Carvell Education Management Planning, Placement Rate Concept, Oct. 30, 1984.

24. Carvell Education Management Planning, Pathways to Progress, pp. 4-13 to 4-16, pp. 4-20 to 4-21; Berman, Weiler Associates, A Study of California's Community Colleges, Vol. 2, p. 96; Vol. 3, pp. 140-142, pp. 146-149; William Piland, "Vocational Education and Employment Training in California," pp. 49-51; Assembly Office of Research, Training Tomorrow's Workers, April 1983.

25. Occupational Education Coalition, Issue Brief No. 4, "Evaluation, Accountability, and Accreditation," and Issue Brief No. 9, "Flexibility of the System."

26. Walter Brooks, Using Student Performance in Planning, June 1984.

27. "Proposed Revision of Program Standards for Occupational Education in Community Colleges," draft, 11/6/86.

28. See W. Norton Grubb, "The Phoenix of Vocationalism: Implications for Evaluation," in The Planning Papers for the Vocational Education Study, National Institute of Education, 1978; and Stern et al., One Million Hours a Day. Much of the latter argument has been repeated in David Stern, "Education for Employment Over the Next Twenty-five Years," in Berman, Weiler Associates, A Study of California's Community Colleges, Vol. 2, Ch. 7.

29. Investing in our Children: Business and the Public Schools, Committee for Economic Development, 1985, p.15.

30. National Commission on Secondary Vocational Education, The Unfinished Agenda: The Role of Vocational Education in the High School, National Center for Research in Vocational Education, 1984, p.14.

31. Putting Americans Back to Work: The Kellogg Leadership Initiative (Washington, DC: American Association of Community and Junior Colleges, 1984), p.29.

32. Dale Parnell, The Neglected Majority (Washington, DC: Community College Press, 1985), p.144.

33. James McPartland, Russell Dawkins, and Jomills Braddock, "The School's Role in the Transition from Education to Work: Current Conditions and Future Prospects," Center for Social Organization of Schools, Johns Hopkins University, Report No. 362, April 1986.

ISSUE PAPER NO. 9

GOVERNANCE OF POSTSECONDARY EDUCATION: GOVERNANCE OF THE COMMUNITY COLLEGES; POLICY DIRECTION FOR STUDENT FINANCIAL AID; LONG-RANGE PLANNING; JOINT PROGRAMS; INTERSEGMENTAL COORDINATION; COLLABORATION WITH THE PUBLIC SCHOOL SYSTEM; AND POLICY ADVICE FOR THE GOVERNOR AND LEGISLATURE.

Introduction

Several of the most important recommendations of the 1960 Master Plan, as it was translated into law in the Donahoe Act, dealt with the organization and governance of public higher education. The Community Colleges (then Junior Colleges) were explicitly recognized as part of higher education; the California State University (then California State Colleges) was removed from the State Board of Education and given its own Board of Trustees, and the Coordinating Council for Higher Education (later replaced by the Postsecondary Education Commission) was created. This structure, like several other key provisions of the Master Plan, has proven remarkably durable. In time, it was found that the Coordinating Council needed to be reformed and strengthened, and the Junior Colleges were eventually removed from the Board of Education's jurisdiction much as the State Colleges had been. Yet the essential character of the tripartite system has remained very much as it was described in the Donahoe Act of 1960.

Postsecondary education in California now consists of the three segments of the public sector -- the California Community Colleges, the California State University, and the University of California; two semiautonomous specialized public institutions; the two or more segments of the private sector -- the "independent" colleges and universities and the many other accredited or approved professional and vocational schools, colleges, and institutes; the Student Aid Commission; and the California Postsecondary Education Commission.* In terms of its organization and governance, as well as in its operation and financing, California postsecondary education, and California public postsecondary education in particular, is noteably healthy and vigorous. There is no stronger system to be found elsewhere in the United States or in any other country.

However, it is not without its problems in governance as well as in other areas. Its weaknesses may be most clearly identified through an analysis of the principal objectives of the existing structure and its degree of success in meeting these objectives:

1. To provide effective management and policy direction for each major segment of postsecondary education. Both the University of California and the California State University have governance structures that permit, if they don't always ensure, effective management of each system at the campus, central office, and governing board levels. This is not true of the California Community Colleges, which have a relatively weak central administration that has not enjoyed the confidence of the Governor and Legislature and that is frequently at odds with local (district) administration and governing boards.

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*The structure and governance of postsecondary education in California is described in greater detail in the Commission's Background Paper No. 5.

The Student Aid Commission, by virtue of the importance of the financial aid programs it administers, has also become a very important element in the postsecondary education enterprise. Yet it appears to lack the policy formualtion authority and, perhaps, the membership necessary to permit it to provide leadership at the state level and to represent the state at the federal level in regard to student financial aid policy.

It may be argued that the several segments of the private postsecondary sector also lack the structure necessary to permit them to participate equally with the public segments. Whether this is true or not, however, it would appear to be a matter that is beyond the scope of public policy.

2. To provide independent policy research and program evaluation for the Governor, the Legislature, and the segments. This has become the principal function of the California Postsecondary Education Commission, and it is a function that CPEC is performing very well.

3. To ensure cooperative, coordinated long-range planning for postsecondary education. This function also has been assigned to CPEC, but it is a function that CPEC has found difficult to perform.

4. To provide encouragement for and cooperative administration of intersegmental programs and projects. Although a number of important programs and projects involving two or more postsecondary segments have been established, this has been accomplished by ad hoc arrangements unsupported by a continuing system of financing or administration. Thus when there has been pressure to reduce expenditures, these programs have not been able to compete for funding with campus-based programs, and they have been among the first to be jetisoned.

5. To provide cooperative, coordinated policymaking for all segments of postsecondary education. This is a function that some have expected CPEC to perform, but it is limited in its ability to do so by its membership and mode of operation.

6. To ensure effective collaboration with the public school system in matters of importance to both the public schools and the postsecondary institutions. There is at present no agency charged with this responsibility other than the voluntary, nonstatutory Articulation Council. The Council has suffered from inadequate funding and lack of interest on the part of its members. The California Round Table for Educational Opportunity, also a voluntary group, has been established to aid in this endeavor, but its potential contribution remains uncertain.

7. To assist the Governor and the Legislature in establishing priorities for the support of education. This is a function that the CPEC staff has sought to perform in a limited manner at the postsecondary level but which may not be consistent with its current mode of operation. There is no agency that is concerned with education at all levels.

Each of the weaknesses in the existing governance structure identified above will be addressed individually in this paper.

Issue 1: What public policy should the Commission recommend regarding state and local governance of the Community Colleges?

Background

In The Challenge of Change, this Commission observed that as the Community Colleges have evolved out of the public school system into postsecondary institutions, they have retained a governance structure with two important characteristics of the public school system: largely independent local governing boards and a relatively weak state governing board. In seeking to strengthen the Community College governance structure, the Commission recommended a number of measures to increase the authority and stature of the Board of Governors, to strengthen the district governing boards, and to enhance the roles of faculty senates and student organizations in campus administration.

With respect to district organization and accountability, however, the Commission determined that it had not yet had an opportunity to consider the matter in sufficient depth and recommended that no changes be made "while the Commission continues its examination of alternative local governance structures, including enhancement of the existing structure." In arriving at this decision, the Commission made the following observations (Change, pp.18-19):

> In addition to strong statewide leadership, Community Colleges must have strong leadership and effective management at the district and college levels --leadership and management that is responsive to local needs and aspirations and to statewide leadership, goals, and priorities. Currently, this management responsibility is distributed among seventy semiautonomous districts of which there are fifty one-college districts, eleven two-college districts, six three-college districts, one four-college district, one five-college district, and one nine-college district.
>
> In the course of its study and public hearings, the Commission has been reminded frequently that an important characteristic of the Community Colleges is their capacity to respond to the evolving values and needs of the many communities that make up this state. During the past seventy-five years, the Community Colleges have achieved well-documented educational successes. District governing boards have met the challenge of extraordinary growth in the 1960s and responded rapidly to increasing demand for adult education, remedial programs, and community service and contract courses in the 1970s. At the same time, they have maintained a substantial degree of unity statewide and have generally remained financially sound in the face of major changes in their funding.
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> However, the Commission has also heard a number of important criticisms of the governance structure, criticisms too fundamental to be ignored. These include the charge that there is no direct linkage between the state-level Board of Governors and its Chancellor and the district-level governing boards and their chief executive officers.

> District administrators are accountable to their local boards, which are accountable to district electors, but neither are accountable to the Chancellor and Board of Governors. As a consequence, the Board of Governors and Chancellor have no effective means of enforcing their policy decisions or ensuring responsiveness to requests for accurate and timely information from the colleges.
>
> In addition, district officials are under no constraint to approach the Legislature through the Board of Governors. They may and often do seek legislative intervention in matters of finance, academic policy, personnel, and facilities without Board of Governors' approval. Knowing that the Board of Governors has no direct, practical means of enforcing its decisions, the Legislature and the Governor have little confidence that the Board of Governors and the Chancellor can manage the Community College system effectively and, therefore, frequently intervene directly.
>
> Since the passage of Proposition 13 in 1978, the governing boards, which previously played a major role in determining district revenues and district expenditures, now control only expenditures. Voter interest in the management of Community College district elections averages less than fifteen percent. As a consequence, incumbent board members seldom face serious opposition except when well-organized interest groups seek to gain representation.
>
> Existing district boundaries exacerbate problems of the "free flow" of students and the employment of faculty on a full-time basis. Faculty must often cross district lines to obtain full-time employment, just as students must often cross district lines, if they are permitted to do so, to obtain instruction they desire.

In February 1986, the Commission directed its staff to conduct a special study of Community College district organization in accordance with its recommendation. Frank M. Bowen and Lyman A. Glenny were selected to conduct the study, which began in May. The consultants established a 12-member Policy Advisory Committee representing interested agencies and organizations to provide formal advice. They then began a review of all relevant documents and initiated an extensive series of interviews with Community College administrators at the district and state level. They also visited several other states and sought advice widely. In August, the consultants solicited the views of district chief executive officers regarding district governing board elections and ways in which "greater trust and confidence" might be achieved "in, and within, the Community College system."

In their report to the Commission, Bowen and Glenny listed 13 major findings (pp.4-7):

1. Together, the Board of Governors and the Boards of Trustees of the 70 districts share characteristics of the public schools and of the four-year segments, but are a unique "system" or organization.

2. The California Community Colleges lack some critical characteristics of a fully coherent statewide system -- i.e., effective regular or routine structures and processes for consultation, information, accountability, and planning.

3. There is lack of agreement among the Board of Governors, local boards, and various interest groups on the proper locus or level of control for particular decisions.

4. To an extent almost unknown in the four-year segments, the Governor, the Legislature, and particular legislators act, not only as policy makers, but as active participants in the governance, organization, and management of the Community Colleges.

5. Statutes that purport to set legislative policy for the Community Colleges are ambiguous, sometimes contradictory, too numerous, and too detailed in prescription, conditions evidencing policy disagreement among the districts, the Board of Governors, and various statewide associations.

6. To a much greater extent than in the four-year segments, a wide variety of statewide, special interest groups operate independently and in shifting coalitions as advocates before the executive and legislative branches and before the Board of Governors.

7. Perspectives vary widely on the nature, appropriateness, and extent of the regulatory responsibilities of the Chancellor's Office.

8. The Community College Chancellor's Office is not appropriately staffed and organized to manage either its operational, regulatory responsibilities or its distinct responsibilities for statewide planning and policy development.

9. The Community College Chancellor's Office lacks a statewide, management information system that is capable of supporting State and local (a) accountability, (b) research and policy analysis, and (c) programmatic and fiscal planning.

10. There is general agreement at state and local levels that accountability for state funds and policy objectives requires more explicit allocation of responsibility and authority (a) among the Board of Governors and the local districts and (b) between them and state executive and legislative agencies.

11. There is emerging agreement at state and local levels that any coherent, statewide system requires structures and processes for (a) consultation, (b) accountability, (c) information, and (d) planning.

12. There is widespread agreement that substantial improvement is needed in the consultative structures and procedures through which local districts participate with the Board of Governors (a) in statewide policy formulation and planning and (b) in review of compliance and control procedures.

13. There is emerging agreement at state and local levels that the primary roles of the Board of Governors should be statewide policy leadership, and that regulatory intervention in district management should take place only when, based on previously determined criteria, district management has failed.

Based upon these findings, their review of the history of the California Community Colleges, and their analysis of alternative coordination and governance systems, Bowen and Glenny advanced six recommendations that call for important but moderate changes in the existing governance structure. They are focused upon the state level -- the Board of Governors and the Chancellor's Office. They seek to establish the Board of Governors as a "regulatory coordinating body" for what is to be explicitly recognized in statute as a "system." They provide for a consultative structure to link the Board and Chancellor's Office formally with the districts and the various statewide Community College organizations. And they recommend "consideration" for increasing the Chancellor's authority to act in the event of district financial crisis.

They do not, however, call for any changes in district organization or bring the Board of Trustees or the Chancellor into decisions regarding the hiring, evaluation, or firing of district chief executive officers other than when an individual "knowingly violates the provisions of the fiscal accountability statutes." This is in accordance with the consultants' findings, which advance no criticism of district organization or management and which therefor imply that no changes in the existing district structure are required.

Others have been critical of the district structure, which is a vestige of Community College origins in the public school system. Proposition 13 and the resulting shift in financial responsibility to the state, it is said, have broken the important link between revenue raising and spending authority for district governing boards, inviting fiscal irresponsibility. Voter apathy has made some districts battlegrounds between their chief executive officers and employee organizations. District boundaries exacerbate enrollment problems and block rational employment of faculty. These and other criticisms have, as was pointed out in the Background Papers for The Challenge of Change, led some observers to believe that a structure based upon 70 semi-autonomous districts with elected governing boards is not the only or necessarily the best way to match Community College resources to the educational needs of local communities and the state as a whole.

Policy Options*

In light of the Commission's earlier recommendations and the findings and recommendations of the Bowen/Glenny report, the following options are proposed for the Commission's consideration at this time:

Option 1: Reaffirm the Community College governance and finance recommendation in The Challenge of Change and adopt, with modifications, the Bowen/Glenny recommendations to establish the Board of Governors as a "regulatory coordinating" body and to retain the existing district structure. Accordingly, it is recommended that:**

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*The Commission subsequently directed staff to make the revisions outlined in Appendix A for its further consideration in March 1987.

** The Challenge of Change recommendations are indicated by numbers: (52). Bowen/Glenny recommendations are indicated by: (B/G 2.2).

1.1 The Community College System

The Governor and Legislature clarify existing policy to recognize the Board of Governors and the Trustees of the Community College districts as the "California Community College System." (B/G 1)

The kind and quality of communication links among the many parties with official and unofficial interest in Community College affairs should be substantially improved by use of greater structure, better processes, and more numerous contacts, especially between the Board of Governors and the Community College districts. (B/G 2)

To this end, the Board of Governors should establish by regulation an advisory committee consisting of trustees and chief executive officers from the Community College districts and representatives of the statewide Academic Senate. (B/G 2.1)

The Board of Governors should also establish by regulation an interassociation advisory panel consisting of representatives from the several associations, unions, and other organizations with special interests in Community College affairs. (B/G 2.2)

In addition, the Board should create task forces, working groups, and advisory committees for each of its principal operating and planning functions to consist of appropriate persons drawn from the districts, other government agencies, private organizations and the citizenry at large. (B/G 2.3)

1.2 Membership and Terms of the Board of Governors

The Legislature add to the Board of Governors as ex officio members the Governor, Lieutenant Governor, Speaker of the Assembly, Superintendent of Public Instruction, and Chancellor. (48)

The Legislature increase the (staggered) terms of appointed members from four years to eight years. (49)

1.3 Powers and Duties of the Board of Governors

The Legislature increase the Board of Governors' authority with respect to admission standards, program development, data collection, faculty and staff affirmative action, and the budgeting and allocation of State support. (47)

The Board of Governors should be delegated broad leadership, policy, planning, and research functions as primary responsibilities by the Legislature, and its fiscal, programmatic, and informational control responsibilitiy and authority should be explicitly defined. (B/G 1.1)

Appointment of district chief executive officers shall be subject to the advice and consent of the Board of Governors.

The Legislature direct the Board of Governors to issue an annual public "report card" summarizing important aspects of the educational accomplishments and financial condition of each district according to previously determined measures. (52)

The Board of Governors be authorized to conduct a management audit of any district according to previously determined criteria; that on the basis of the findings of the management audit the Board be authorized to recommend appropriate changes in the district's management practices. If the district subsequently fails to comply with those recommendations, the Board be authorized to implement appropriate sanctions, including appointment of a special trustee. (53)

The Board of Governors conduct a thorough review of all statutes affecting the administration and operation of the Community Colleges, and recommend to the Legislature the amendment or repeal of those provisions regarding the management of the districts and colleges that have become obsolete in light of the increased authority being granted to the Board of Governors and of the clear postsecondary role of the colleges. (54)

The Board of Governors, in consultation with local districts and the appropriate state control agencies, should coordinate the legislatively mandated study of academic accountability with (1) its review of delineation of authority, (2) its development of an information system, and (3) its continuing development of long-range planning procedures. (B/G 5)

The Board of Governors, in consultation with the districts, should review the current comprehensive planning project with the objective of simplification in light of: (a) current legislation on fiscal and academic accountability; (b) recommendations in the present report on organization of the Chancellor's Office and on information systems. (B/G 6)

The Board of Governors, in consultation with the districts, should explore extension of its annual "Basic Agenda" to include major statewide planning goals and objectives. (B/G 6.1)

The Board of Governors, in consultation with the local districts and appropriate state control agencies, should diligently pursue current plans to establish an information system to support planning, policy development, and accountability in the Community College system. (B/G 3)

1.4 Financial Support and Fiscal Accountability

The Legislature repeal the current support budget formula for the Community Colleges and that the Board of Governors and the Department of Finance develop a set of nonstatutory budget instructions. (61)

The Board of Governors develop and implement, with the approval of the Governor and the Legislature, a simplified system of "differential funding" to be used in budgeting State support for the Community colleges. This system should incorporate workload measures for student services, plant maintenance and operation, and campus administration other than FTE enrollment. Consideration should be given to segregating remedial instruction costs from other instructional costs to allow for the generally higher cost of remediation. (62)

The Legislature authorize the Board of Governors to allocate State support among the districts according to rules and regulations to be established by the Board.(66)

The Board of Governors and the Chancellor's Office, in consultation with local districts and appropriate state control agencies, should immediately begin implementation of current legislation on fiscal accountability. (B/G 4)

The authority of the Chancellor should be increased under current legislation to authorize requirement of federal bankruptcy proceedings or the appointment of a trustee for a district, or both, under appropriate circumstances as a last resort to avoid financial disaster. (B/G 4.1)

The authority of the state Chancellor should be increased under current legislation to provide for the removal from office of any district officer or employee who knowingly violates the provisions of the fiscal accountability statutes. (B/G 4.2)

The county superintendent of schools should be eliminated as a necessary party to Community College fiscal accountability procedures. (B/G 4.3)

1.5 Chancellor's Office

The California Constitution be amended to remove the Chancellor's Office staff from the state civil service system and a separate merit system for that staff be established. (50)

The Legislature authorize the Board of Governors to determine where the Office of the Chancellor should be located so that it can carry out all of its responsibilities most effectively. (51)

The Community College Chancellor's Office should be deliberately organized to support both its primary responsibility for statewide policy and planning on the one hand and its distinct regulatory responsibilities on the other. (B/G 1.2)

1.6 District Governing Boards

The Legislature require all elections for members of Community College district governing boards be held in November of even-numbered years. (56)

The Board of Governors, in cooperation with the districts and other interested agencies, prepare and administer a systematic training program for district governing board members that covers district financial management, academic policy making, collective bargaining, statewide standards, and other matters essential to the effective operation of a district governing board. (57)

Each local district board should be delegated all responsibility and authority for governing and managing its colleges, subject however, to regulatory functions explicitly enumerated and delegated to the Board of Governors. (B/G 1.3)

1.7 Faculty Senate Role

The Board of Governors strengthen the role of faculty senates with respect to the determination and administration of academic standards; course approval; hiring, retention, and evaluation of faculty; and other academic functions. (58)

1.8 Student Participation

The Board of Governors, working with district and student representatives, develop a plan for encouraging greater student participation in appropriate aspects of campus and district administration. (59)

Option 2: Recommend that the California Community Colleges be reorganized into a single system under the Board of Governors, which shall have the power to appoint a Chancellor and the chief executive officers of the colleges. The Board of Governors shall also have full statutory authority for the instructional programs, financial management, personnel policies, and general operation of the system.

The objective of this option is to establish a Community College System with a Board of Governors comparable in its powers and duties to the Board of Trustees of the California State University. The details of the organization and management of the system, including the powers and duties of the Chancellor and central office and the organization of the colleges, would be left to the board to determine by administrative regulation or proposed legislation.

This alternative has been proposed by those who believe that the existing district structure must be completely overhauled if the Community Colleges are to meet the educational needs of the state and their communities in the future as they have in the past. The changes proposed in Option 1 leave the existing district structure essentially as it is, without a strong link between the Board of Governors and the districts that will ensure management of the colleges as a system in the same manner as UC and CSU are managed.

Proponents of Option 2 believe that the existing colleges are not too numerous to be managed by the Board of Governors and Chancellor through an appropriate administrative structure. Nor do they believe that reorganization will diminish the ability of the individual colleges to respond effectively to the educational needs of the communities they serve. On the contrary, they argue that, in comparison with a fragmented system, a unified system will be better able to develop and apply its resources to the needs of California for easily accessable lower division academic and occupational instruction.

Issue 2: What public policy should the Commission recommend regarding the duties and composition of the Student Aid Commission?

Background

In 1986-87, students attending California's public and private colleges, universities, occupational schools, and other postsecondary institutions will receive an estimated $1.5 billion in financial aid -- grants, fee waivers, loans, and subsidized employment.* Half of this amount is being provided in the form of loans administered by the federal government. State expenditures for student aid, including institutionally administered aid funds, are expected to amount to about $275 million. Although this is not a large sum in comparison with the amounts expended in direct support of the Community Colleges, California State University, and University of California, it represents a very substantial and important contribution to the operation of those institutions and to the independent colleges and universities and other private institutions whose students are eligible for state aid.

A large part of this financial aid is administered by the Student Aid Commission (SAC). The SAC is composed of 15 members, including one representative each for UC, CSU, and the Community Colleges, one representative of the independent colleges and universities, one representative of "public, proprietary, or nonprofit schools," one representative of the secondary schools, two postsecondary students, three public members appointed by the Governor, two appointees of the Senate Rules Committee, and two appointees of the Speaker of the Assembly. All but the legislative appointees are appointed by the Governor and confirmed by the Senate. All serve four-year terms, except the students, who have two-year terms.

The commission is authorized to administer the state's student aid programs and to cooperate with federal agencies in the administration of federal student aid. It is also directed to report to the Legislature biennially as to the effectiveness of state student aid programs, collect and disseminate data on the financial aid needs of students and "potential students," and report on the aggregate financial aid needs of actual and potential students and the extent to which that need is being met. The Commission is not explicitly authorized to develop state policy with respect to the character, objectives, and volume of financial aid for California students, however. Accordingly, it has served until now primarily as an administrative agency rather than as a policy formulating body. This is reflected in the commission's recently adopted "Purpose, Role, and Mission Statement," although this statement also suggests that in the future the commission intends to take a more active role in policy formulation then it has in the past:

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*See Background Paper No. 3 and Issue Paper No. 2 for additional data on student financial aid.

> The primary purpose of the California Student Aid Commission is to ensure the effective and efficient administration of state-authorized financial aid programs for students attending California colleges, universities, and other postsecondary institutions, including grant, work study, and loan programs supported by the State of California and the federal government. The Commission has a responsiblity to provide leadership on financial aid issues and make public policy recommendations concerning financial aid programs. To meet these responsibilities, the Commission collects information on student financial aid issues, evaluates the effectiveness of its programs, conducts research assessing California's financial aid needs, engages in long-range planning as a foundation for program improvement, and disseminates information to parents, students, and California educational institutions.

In the absence of greater leadership from the commission in the past, policy direction has been left to the Governor and the Legislature and, to a lesser degree, to the institutions. The California Postsecondary Education Commission has conducted a number of studies regarding the administration and character of student financial aid but has not sought to establish broad state policy in this area. In a recent series of studies of student financial aid, it has assembled much useful information on the subject, but its recommendations are largely restricted to the budgeting and administration of such aid rather than the development of statewide policy.

Despite the magnitude of the student aid bill, there is no overall formulation of student aid requirements based upon explicit state policy, the availability and forms of federal student aid, the evolution of student charges and other costs of enrollment, and the impact on institutions in the private sector. Only the Legislative Analyst's Office, in its review of the Student Aid Commission's annual budget proposal, attempts to take a comprehensive look at student aid funding.

Issue Elaboration

Student financial aid -- federal, state, and institutional -- has become a major source of funding for postsecondary education. Decisions as to which students are to receive aid, in what amounts, in what forms, at what institutions, and for what studies, are now major factors in determining not only access to postsecondary education but the structure of the postsecondary enterprise itself. Although many of these decisions are made in large part by the federal government, the state's role -- or potential role -- is not insignificant. Not only can the state determine the character of state aid and much institutional aid, it can significantly influence the impact of federally administered aid.

Twenty-seven years ago, when student financial aid was uncomplicated and very limited, student aid policy formulation could remain with the Governor and the Legislature. In the intervening years, student financial aid has become a very complex matter of substantial importance to many students and to every postsecondary institution, public or private. In the absence of a body that is responsible for student aid policy, a number of important issues have not received the systematic consideration they merit. These issues include the declining share of state grants going to students at independent colleges and universities, the increase in institutional (non-portable) aid at public institutions, changes in student aid necessary to meet the needs of a more diverse student population, the appropriateness of funding student aid from student fees, the efficacy of student aid as a human resource development device, and other matters.

California also needs a unified and authoritative voice in Washington D.C. to respond to proposed changes in federal policy, express the state's views (rather those of the individual institutions), and help in other ways to shape federal policy so that it is of maximum benefit to California's students. At present, there is no state agency capable of doing this.

Policy Options

Option 1: Recommend to the Legislature that it explicitly identify the Student Aid Commission as the policy formulating agency for student financial aid and that, in accordance with that role, the Student Aid Commission be represented on the California Postsecondary Education Commission and on CPEC's Statutory Advisory Committee.

Recommend, also, that the Student Aid Commission's membership be changed to include only public members and that the segments and students be represented on a statutory advisory committee to the Student Aid Commission.

If the state is to gain the ability to formulate a coherent, effective student aid policy, it is logical that responsibility for doing so should be assigned to the Student Aid Commission, the agency that now has primary responsibility for administering state student financial aid. The Commission's policy responsiblity should encompass not only those programs that it administers but state-supported student financial aid in all its forms, including the grants, loans, waivers, and work-study programs of the segments. The California Postsecondary Education Commission would continue to be responsible for advising the Governor and Legislature as to the effectiveness of all forms of state-supported aid, but it would not be expected to be the principal policy-making agency in this area.

In addition, it may be desireable to strengthen the SAC's position relative to the segments and the California Postsecondary Education Commission. This could be accomplished by adding a SAC representative to CPEC and to CPEC's Statutory Advisory Committee. Since many of the issues that come before CPEC for its consideration in advising the Governor and the Legislature directly or indirectly influence or are influenced by student aid policy, it is appropriate that SAC be represented on that body.

If these steps are to be taken, it will also be desirable to review the membership of the Commission, which now consists of seven public members and eight institutional and student representatives. If it is to have substantial policy-making authority, consideration should be given to increasing public membership to a majority or to placing the institutional and student members on a statutory advisory committee.

Issue 3: What public policy should the Commission recommend regarding long-range planning for postsecondary education in California?

Background

Long-range planning for postsecondary education has been, for the most part, the province of the institutions and segments, on the one hand, and of periodic special studies, on the other. And it has been spasmodic at best. From time to time, individual institutions (public and independent) have issued campus plans for periods of five, ten, or more years. Each of the public segmental governing boards has considered its enrollment projections and the need for new campuses for varying periods into the future, although rarely in a systematic way or for a period of more than five or ten years. Similarly, several of the periodic statewide studies of postsecondary education, including the 1948 "Strayer Report", the 1955 "Restudy", the 1957 Study of the Need for Additional Centers of Public Higher Education, and, especially, the 1960 Master Plan, have been concerned with the needs of the state over some future period. It is remarkable, however, that there has been so little continuing, intersegmental long-range planning for a system of postsecondary education that is otherwise relatively sophisticated in its organizational structure and management practices.

In 1960, the Master Plan Survey Team recommended that the proposed new Coordinating Council for Higher Education have among its responsibilities "Development of plans for the orderly growth of higher education and making of recommendations to the governing boards on the need for and location of new facilities and programs." The Coordinating Council's failure in this regard was reported by the Joint Committee on Higher Education in 1969 and again by the Joint Committee on the Master Plan in 1973, which said, "After more than a decade under the celebrated Master Plan, California has no comprehensive state plan, no statewide planning process, and no comprehensive information system to provide policy-makers with accurate and comparable data on programs, costs, and flow of students."

Thus the California Postsecondary Education Commission, which was established 1974, was directed to "require the governing boards of the segments of public postsecondary education to develop and submit to the commission instituional and systemwide long-range plans in a form determined by the Commission after consultation with the segments." It was further directed to prepare a five-year state plan for postsecondary education covering the need and location of new facilities, programs appropriate to each system, budgetary priorities of the institutions and systems, and other factors, and it was directed to update that plan annually. Initially, CPEC did prepare five-year plans and update them each year with a statement of the status of the issues and problems identified in the plan. In 1981, however, the commission abandoned this effort and published instead Challenges Ahead: A Planning Agenda for California Postsecondary Education, 1982-87. According to a recent staff report:

> Since the publication of The Challenges Ahead, long-range planning has been incorporated more directly into the ongoing activities of the organization. Two examples of this approach include the Prospectus for California Postsecondary Education: 1985-2000, a major reassessment of California's needs for postsecondary education and of the public and private resources for meeting those needs, undertaken in 1984, and The Need for Statewide Long-Range Capitol Outlay Planning in California: An Issue Paper Prepared for the California Postsecondary Education Commission in 1986. These two reports illustrate a new approach to long-range planning that makes it an integral part of the Commission's ongoing workplan rather than a stand-alone document.

CPEC does continue to respond to its statutory mandate to advise the Governor and Legislature regarding the need for new campuses, the programs appropriate to each system, and other matters. But it does so largely in response to initiatives from the segments rather than as part of a continuous planning process. It reviews and comments upon segmental proposals, yet, as one of its own recently commissioned reports states, "It does not collect and analyze data needed for long-term capital planning ..."

It does not, for example, prepare statewide enrollment projections for higher education. Instead, the Population Research Unit of the Department of Finance, which has statutory responsibility for "Serving all levels of government and the private sector as the centralized state source of demographic data," produces enrollment projections each year that are expected to be used by the segments in preparing their support budgets for the next fiscal year and for longer range capital outlay planning. These projections are by district for the Community Colleges but statewide for UC and CSU, and they do not extend to the private sector despite the statutory language.

All three public segments begin with these projections in developing their own numbers, but they employ them in different ways.* For the Community Colleges, they are the official projections. CSU modifies the projections to reflect recent changes in that system's participation rates and planning decisions for individual campuses. UC builds on the Department of Finance projections for undergraduates using campus enrollment projections and its own enrollment projections model, which takes into account a number of factors that may influence participation rates but are not considered in the DOF projections. UC graduate enrollments are treated as a matter of policy and planning, not demand or demographics. As a consequence of these differences, UC and CSU projections show a continuing, if gradual increase in undergraduate enrollment over the next five years while DOF projections show a continuing decline through 1995.

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*Segmental enrollment projections are discussed in greater detail in Frank Bowen's The Need for Statewide Long-Range Capital Outlay Planning in California, (CPEC, 1986) and in Population and Enrollment Trends 1985-2000 (CPEC, 1985).

Issue Elaboration

Systematic, continuing long-range planning is essential to the orderly growth of postsecondary education in California. Such planning should be based upon certain common assumptions including a frequently updated enrollment projection encompasing all segments, public and private. This projection should cover a period of twenty years and be subdivided by segment and by lower division, upper division, graduate, and professional ranking. The long-range plan should indicate the need, if any, for new general or specialized campuses, or the consolidation of existing campuses; the need for expansion or contraction of graduate and professional training in each major field. It should also project the need for additional faculty and other major resources required to operate the campuses.

In the absence of systematic and comprehensive long-range planning, as Lyman Glenny has observed, very important public policy decisions will be made on an *ad hoc* basis. They will often be made before many are aware that they have been made. Examples of this are common in the selection of new campus sites, in the patterns of growth in undergraduate enrollment, in the allocation of student financial aid, in the development of new instructional programs, and in many other ways.

At present, only the University of California has a growth plan that extends to the year 2000, and even that is of recent origin (Bowen, p.15). Moreover, UC's planning is proceeding largely independent of the other segments and independent of any explicit statewide guidelines. Thus UC undergraduate enrollment projections appear to assume that the 40/60 ratio of lower division to upper division students agreed upon in the 1960 Master Plan will not be enforced and that no attention need be given to the resulting effect on enrollment in the Community Colleges, CSU, and the independent colleges and universities. Both UC and CSU appear to make plans for increasing their graduate programs without taking into account the intentions or capacities of the other public and independent institutions.

There are important obstacles to effective long-range planning. College-going rates are not perfectly predictable. Relative changes in student charges may increase or reduce student migration to and from other states. Neither state nor federal funding can be predicted because of uncertainty about economic conditions, political developments, and competing demands on the state and federal budgets. Yet defensible long-range plans, or strategies, can be formulated that will identify many of the most important public policy decisions that will have to be made about resource requirements, segmental management, program development, and changes, if any, in segmental role and mission in order to serve the people of this state in the future at least as well as at present. The segments themselves have a responsiblity to formulate development strategies, and, it may be argued, they have a responsiblity to participate in the formulation of a statewide education development strategy.

Policy Options

Option 1: Recommend that CPEC be assigned the following responsibilities with respect to long-range planning: (1) development of a common definition of "long-range planning", (2) development of a common set of assumptions upon which such planning is to be based, (3) review of segmental activities to determine that they periodically prepare and update long-range plans and that such plans are based upon the common set of assumptions. As part of this responsibility, CPEC should also be directed to prepare and update annually a 20-year projection of postsecondary enrollment in the public and private sectors at all levels of instruction.

There have been several efforts over the years to establish CPEC (and its predecessor, the Coordinating Council for Higher Education) as a statewide, long-range planning agency for public and private postsecondary education in California. These efforts have not been successful either because the segments were unwilling to cooperate or CPEC was unwilling to exercise sufficient leadership, or both. If such planning is to be undertaken and maintained, however, CEPC would appear to be a reasonable choice to provide the necessary leadership. It has access to all of the relevant data, considerable experience with many of the principal concerns, and it is relatively free of institutional or segmental bias.

Any long-range plan must take into account such matters as projected enrollment growth, undergraduate and graduate academic plans, faculty supply and demand, affirmative action goals, facility space standards, potential uses of new technology, funding sources, and the impact of the decisions of one segment on the academic and financial health of the others. Clearly, therefore, it will be necessary not only to have a common definition of the scope of long-range planning but also a common set of assumptions about the factors upon which the planning must be based. If CPEC provides leadership in these areas, the actual planning can be accomplished by the individual segments.

Perhaps the principal obstacle to CPEC's leadership in long-range planning is that in taking on such a role it would significantly alter its relationship to the segments and to the entire postsecondary enterprise. In addition to its responsiblities for evaluating the operations and plans of the segments, it would become responsible for participating in and guiding important decisions regarding enrollment growth and distribution, the

planning of new campuses, and the development of new and existing instructional programs. It would, in short, have to assume certain responsibilities that it has eschewed in the past and which the segments have not been eager to have it acquire.

Option 2: **Recommend that each segment continue to be responsible for preparing its own long-range plans independently.**

It may be argued that the obstacles to useful statewide long-range planning for postsecondary education are so great that no effort should be made at this time to develop a statewide planning capacity to encompass all segments. Any effort to develop, maintain, and enforce a coordinated planning process based upon common assumptions might prove to be too rigid to respond to the unforeseeable changes that are certain to shape the evolution of postsecondary education in this state in the future. Only the individual segments may be close enough and responsive enough to such changes to be able to conduct effective planning.

Issue 4: What public policy should the Commission recommend regarding the financing and management of intersegmental programs?

Background

At present, there are a substantial number of projects and programs in which two or more of the postsecondary segments participate. Most of these cooperative projects and programs are intended to improve instruction in the public schools and increase college-going and transfer rates for underrepresented groups. Among the largest are:

California Mathematics Project: Establishes regional staff development and curriculum improvement activities in the public schools and Community Colleges; $2 million budget funded through UC; participation by UC and CSU; administered through UC President's Office.

California Writing Project: Establishes regional staff development opportunities for public school and Community College writing teachs; $1.2 million budget funded through UC; participation by UC, CSU, CCC, AICCU, and public schools; administered through UC Berkeley.

California Student Opportunity Access Program (CAL-SOAP): Provides services to expand educational opportunities for underrepresented groups and disadvantaged students with emphasis upon support services, admission and financial aid assistance, and academic and career advisement; $.8 million budget funded through the Student Aid Commission; participation by UC, CSU, and CCC; administered by CAL-SOAP.

ASSIST: A computerized course articulation system to aid potential transfer students; participation by UC, CSU, CCC; $250,000 budget funded through Community Colleges with contributions from UC and CSU; administered through UC Irvine.

California Academic Partnership Program (CAPP): Cooperative efforts to improve the academic quality of the public secondary schools; participation by CSU, UC, AICCU, CCC, and State Department of Education.

Community College Transfer Centers: To increase the number of Community College students who transfer to four-year institutions and improve their preparation; $2 million budget funded through UC, CSU, and CCC's; participation by CSU, UC AICCU, and Community Colleges; administered by participating institutions.

Some of these projects and programs are statewide in character, others are essentially local arrangements. Funding and administration vary from program to program in the absence of an established structure to provide for such activities. If such intersegmental programs are to be encouraged, however, a continuing, responsible administrative structure must be established.

The nearest thing to such a structure is the California Education Round Table, which was established in 1980. The Round Table is a voluntary group consisting of the Superintendent of Public Instruction, the President of the University of California, the Chancellor of the California State University, the Chancellor of the California Community Colleges, the Chairman of the Association of Independent California Colleges and Universities, and the Director of the California Postsecondary Education Commission. Its stated priorities are: (1) improving student achievement through strengthening the secondary school curriuclum, (2) improvment in selected secondary schools, (3) strengthening the teaching profession, (4) improving coordination and effectiveness of postsecondary "outreach" programs, and (5) strengthening the community college transfer function. It has a "staff" made up of senior staff from each of the six segments and agencies represented, and it meets approximately four times each year.

In the spring of 1986, with the Round Table's support, an Intersegmental Budget Committee (formally titled the Joint Task Force on Planning and Coordination of Outreach and Student Preparation Programs) was established by the public institutions to screen intersegmental program proposals for inclusion in the Governor's Budget for 1987-88. Eleven programs received the support of this group, but the Governor did not include them in his new budget.

More recently, the Round Table staff has developed a proposal to create a permanent Intersegmental Coordinating Council (ICC) to coordinate intersegmental activities under the policy direction of the Round Table. This agency and its subordinant units are to provide for intersegmental programs the support and management that are acknowledged to be needed and that, in the staff's view, might otherwise be mandated by the Legislature on the recommendation of this Commission. At the first discussion of this proposal, the members of the Round Table expressed unanimous support for creating such an agency. Creation of the ICC, however, will constitute a major change in the Round Table from an informal forum for bringing together the leadership of the public schools and the postsecondary segments to a quasi-official administrative body.

Issue Elaboration

In addition to programs and projects to improve public school instruction and increase educational opportunities for underrepresented groups, there are likely to be a number of important areas in which intersegmental cooperation and participation will be necessary to the achievement of important educational objectives. At present, the absence of an established administrative framework and the difficulty of funding such programs through segmental budgets serve to discourage their development. None of the segments is staffed to undertake large-scale programs of this nature, and there is ample experience to show that intersegmental programs cannot compete equally with segmental or campus programs for segmental or campus funds when budgets are tight.

Thus, if intersegmental cooperation is to be encouraged, an administrative framework and a system of direct funding must be established. In another issue paper, the Commission will be asked to consider establishing a joint programs board to administer UC and CSU cooperative teacher training, educational research, and teaching doctoral programs in education. It is entirely possible that such a board (or boards) could serve effectively for programs in other areas, as well. It could be funded directly rather than through one or more of the segments and staffed either temporarily of permanently with experienced personnel drawn from the segments.

Alternatively, the California Round Table and its proposed Intersegmental Coordinating Council could be encouraged to fill this need on a quasi-official basis. Certainly the emergence of this proposal indicates that the segments are aware "that there is a problem of coordination and joint planning to be resolved." Yet the proposal is remarkably reminiscent of the Liaison Committee that was established in 1945 to deal with the common interests (and policy differences) of the University of California and the State Board of Education, which was then responsible for the state colleges and the junior colleges. That body eventually proved inadequate to resolve the conflicts between the segments, but it did oversee the work of the Master Plan Survey Team which produced the 1960 Master Plan.

Policy Options

Option 1: Recommend that the California Postsecondary Education Commission be given responsibility for administering intersegmental programs and operations.

As the established coordinating agency for postsecondary education in California, CPEC may appear to be the logical agency to administer existing and proposed new intersegmental programs. Its members and staff are well acquainted with the functions and operations of the postsecondary institutions and with the educational services performed by existing intersegmental programs.

CPEC's primary function, however, is to advise the Governor and Legislature as to the functioning of the segments and institutions. To do so effectively, it must be able to evaluate institutions and programs as objectively as possible, something it could not be expected to do with respect to programs it administers. Thus the Commission's advisory ability would be weakened to the extent that it were given operational responsiblity for specific programs.

Option 2: Recommend that one or more statutory joint program(s) boards(s) be established to administer intersegmental programs and projects.

In the issue paper on graduate instruction, staff has presented an option calling for the creation of a joint program board to administer doctoral programs, research, and related intersegmental activities in teaching and school administration at the elementary and secondary levels. That is exactly the kind of intersegmental agency proposed for consideration here and provides a concrete example of the need for such a agency.

Joint program boards might be established for each major area of intersegmental cooperation, or a single body might be established for all such programs and projects. Such a board could be funded directly by the state to coordinate the operation of intersegmental programs and could be held accountable for their success of failure. It is not clear, however, whether such a board should stand alone as a quasi-independent agency or be attached indirectly to CPEC or to one of the segments.

Option 3: Encourage the creation of an Intersegmental Coordinating Council under the direction of the California Education Round Table as proposed by the Round Table's staff.

As endorsed by the California Education Round Table, the proposal calls for:

> 1) Having the Round Table assume authority over intersegmental programs and activities; and be accountable for outcomes; and 2) Delegating to the Intersegmental Coordinating Council responsibility for conduct of these activities, with the ICC reporting to the Round Table through CERT staff.

Such a quasi-official agency might very well provide the coordinated leadership required for intersegmental programs and projects, yet its proposal raises several important questions. Would the Round Table continue to meet in private? How would projects be funded? How would the Governor and Legislature be able to hold such an agency accountable for program outcomes? If only two members of the Round Table have clear executive authority within their segments, as is the case now, what additional powers would be necessary to give the body real authority? Should the CPEC director continue to be a member at the risk of compromising CPEC's ability to evaluate its administration of intersegmental programs?

Option 4: Recommend that the California Round Table be made a statutory body with responsibility for administering intersegmental programs and projects.

Because the California Round Table brings together the public postsecondary segments, the independent colleges and universities, CPEC, and the Superintendent of Public Instruction, some believe it to be the logical agency to administer intersegmental programs if it is given the authority of an official public body. Such a step would answer most of the questions raised above.

Those who oppose such a step argue, however, that a Round Table with statutory authority would, at the very least, duplicate in certain ways the California Postsecondary Education Commission, and, at the other extreme, have some of the characteristics of a super board. It is not clear that the proponents of the new role for the Round Table will also support converting it from a voluntary to a statutory body.

Issue 5: What public policy should the Commission recommend to ensure cooperative, coordinated policy making among the postsecondary segments?

Background*

As noted earlier, postsecondary education in California consists of the three public segments -- the California Community Colleges the California State University, and the University of California, two semiautonomous institutions -- Hastings College of Law and the California Maritime Academy, the Student Aid Commission, a large private sector made up of 181 accredited degree-granting institutions (including the independent colleges and universities), 194 nonaccredited degree-granting institutions, over 2,200 proprietary schools, and the California Postsecondary Education Commission (CPEC). CPEC has broad responsiblity for planning and coordinating postsecondary education, and especially public postsecondary education, but it is in no sense a statewide governing body. Its authority derives principally from its ability to gather information from the institutions and to advise the Governor and Legislature as to state policies for the management and financing of postsecondary education. In general, postsecondary education in California remains a highly decentralized enterprise as compared with other states. The segmental governing bodies, including the 70 community college district boards, the other public institutions and commissions, and the many private associations all vie with one another for funding and public policy that will enable them to better serve the state and enhance their status.

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*The structure of postsecondary education in California is described in greater detail in MPC Background Papers 2, 3, 4, and 6.

Issue Elaboration

In the course of its deliberations in 1959, the Master Plan Survey Team considered the merits of establishing either a single governing board for UC and CSU or a "superboard". According to the Survey Team's report, however, a single board was rejected because it might have concentrated too much authority in a single body, produced "a leveling effect" among the institutions, given board members too broad a responsiblity, resulted in neglect of some aspects of higher education, and left the community colleges out of the picture. A "superboard" was rejected because it could not be made superior to the Regents of the University of California without amending the Constitution and a belief that the "status of the University should not be tampered with," together with a conviction that "a constitutional change opposed by one segment was unlikely to be adopted." Instead, the Survey Team recommended and the Legislature established a coordinating body, made up of representatives of the three public segments and the independent institutions, advisory to the Governor, the Legislature, the segments, and other interested state agencies.

In 1969, the Legislature's Joint Committee on Higher Education did propose that the University of California, California State University, and California Community Colleges be unified under a single governing board with a subordinant coordinating and administrative body for each major region of the state. However, this idea was rejected by the Joint Committee on the Master Plan in 1973, which recommended decentralization of segmental governance but replacement of the Coordinating Council for Higher Education with a somewhat stronger California Postsecondary Education Commission.

In matters that are of substantial importance to any of the public segments -- its budget, role and mission, or admission standards, for example -- CPEC seeks a concensus. A majority of its members represent the public, but experience has shown that on major issues it usually will be very reluctant to adopt a viewpoint that is unacceptable to one of the public segments. If it does, it cannot keep that segment from taking the issue to the Governor or Legislature for resolution.

Moreover, it has not and cannot replace such agencies as the Legislative Analyst's Office, which advises the Legislature on educational finance and policy, or the Department of Finance, which advises the Governor on fiscal matters. Only an agency that is directly accountable to the Legislature or to the Governor could be expected to do that.

Policy Options

Option 1: Recommend that the Education Code be amended to delete language permitting the chief executive officers of the public segments to be represented by their designees on the Statutory Advisory Committee of the California Postsecondary Education Commission. Recommend that a Technical Advisory Committee be established with its membership drawn from the senior staff of the segments.

This move back toward an earlier concept of CPEC and the struture of the original Coordinating Council for Higher Education might strengthen CPEC and provide an official forum for resolving issues of major importance to the segments, a forum that is now provided unofficially by the Round Table. If the chief executive officers are not provided a formal setting for resolving the important differences that arise among them from time to time, a setting in which they must confront those differences, it is likely that their disputes will be carried to the Legislature or the Governor to be settled.

Option 2: Propose no changes in the existing intersegmental coordinating structure.

The Commission may accept this option if it believes that CPEC and informal arrangements provide sufficient opportunities for cooperative, coordinated policy making among the postsecondary segments.

Issue 6: What public policy should the Commission recommend to ensure effective collaboration between the postsecondary institutions and the public school system in matters of common interest?

Background

There is no state agency at present that can, on the one hand, represent and, on the other, guide the development of all education in the state, from preschool through postgraduate education. Such agencies do exist in other states: the Regents of the University of the State of New York, Florida's State Board of Education, Idaho's State Board of Education/ Board of Regents of the University of Idaho, Michigan's State Board of Education, and Oregon's Educational Coordinating Council all have governing or coordinating responsibilities in their states. However, the constitutional status of the Superintendent of Public Instruction and of the UC Board of Regents would appear to present insurmountable obstacles to any such arrangement in California.

Through the years, there have been a number of efforts to encourage greater cooperation among the postsecondary institutions and the public schools of this state, but the most important of these -- the Liaison Committee, the Articulation Council, and, most recently, the California Round Table -- have been voluntary, nonstatutory bodies. These bodies have made important contributions but those contributions have been limited by the fact that they can not be funded directly, do not have independent staff, and have no enforcement authority.

Policy Options

Option 1: Recommend that a single statutory advisory body be established for all public and private education in the state.

This proposal would be, in effect, to expand the jurisdiction of the California Postsecondary Education Commission to include all levels of education -- to take the "P" out of CPEC. There might need to be changes in the composition of the commission and its statutory advisory body (if such a body were retained), but its powers and duties might remain much the same. It would gather information on all educational activities in the state, evaluate instructional programs and administrative activities from preschool through postdoctoral studies, and it would advise the Governor and the Legislature on the whole range of educational matters that come before them.

It would not, however, have the authority necessary to resolve fundamental disputes among the segments, including conflicting claims on limited state financial resources.

Option 2: Encourage the development of the California Education Round Table as a voluntary coordinating body.

As noted above, the California Education Round Table was established to facilitate collaboration between the postsecondary segments and the public schools. It has assumed some of the responsibilities formerly assigned to the Articulation Council. As a voluntary agency, however, it has many of the limitations of the Articulation Council and of the Liaison Committee of the 1940s and 1950s.

Issue 7: What public policy should the Commission recommend to ensure that the Governor and Legislature have necessary assistance in establishing their priorities for financing postsecondary education?

Background

At present, the Legislature relies upon CPEC, the Legislative Analyst, and its own committee staff to help establish priorities for the financing of postsecondary education. The Governor must rely heavily on CPEC, the Department of Finance, and his or her own staff. Unlike the Legislature, the Governor has expressed dissatisfaction with this arrangement and a need for advice from a source that can rank the competing and sometimes conflicting requests of the segments and independent agencies.

CPEC is charged by statute with advising both the executive and legislative branches "as to whether segmental programmatic budgetary requests are compatible" with the five-year plan it is directed to prepare and update annually. As it no longer prepares such a plan, CPEC's staff can only advise the Governor and Legislature as to whether budget requests are consistent with recent CPEC reports. This the staff does in the confidential budget hearings conducted by the Department of Finance with each segment, but such assistance evidently does not entirely satisfy the Governor. In all probability this is because CEPC's staff often has little basis for saying that a proposed expenditure by one segment is of higher priority than that of another.

Issue Elaboration

To our knowledge, the only state with multiple governing boards and a state agency that does prioritze their budget proposals is Oregon. The Oregon Educational Coordinating Commission is a seven-member lay commission established in 1975 with broad responsibility for planning, coordinating, and evaluating educational programs from kindergarten through postgraduate study. Among the commission's responsibilities is that of assessing the budgetary priorities of the several governing boards and advising the Governor and Legislature of its assessments.

It has recently strengthened its ability to meet this responsibility by having completed a six-year State Comprehensive Plan for Education that establishes educational priorities for the state. Employing these priorities it has ranked all proposed increases over the base budget for each segment for the 1987-89 biennum. It remains to be seen what effect its advice will have, but certainly it has undertaken an effort that will be watched closely by other states.

Lacking a plan such as the Oregon commission has produced, an agency charged with reviewing and prioritizing budget requests can only substitute its judgement for that of the segmental governing boards, since those boards are unlikely to prioritize their own requests. Thus the agency is most likely to serve as an advocate for the segments except when budget proposals clealy violate previously agreed or clear measures of need. It is not in a position to make the kind of decisions that a Governor and a Legislature must make.

Thus in the absence of an accepted state plan, it is probable that a Governor will consistently receive useful advice only from members of his or her own administration.

Policy Options

Option 1: Recommend that a cabinet-level Secretary for Education be established to advise the Governor on educational policy for all public and private institutions.

Education is the only major area of state activity for which there is not an agency secretary of cabinet rank. Instead, the Governor's Education Advisor is a member of the staff in the Governor's Office with approximately the same status as the advisors for local government, appointments, legislation, and press relations. The principal reason for this is that the Governor has little direct administrative responsiblity for education. The Department of Education and the public schools are the responsibility of an elected Superintendent of Public Instruction, and the postsecondary institutions are the responsiblity of their governing boards. Education has always had a special status within the framework of state government, and that is reflected in the administrative structure.

It may be time, however, to reexamine this structure, to strengthen the Governor's ability to articulate state policy and to determine the appropriate allocation of state funding among the competing interests. One way of accomplishing this would be to enlarge the Governor's educational staff by two or three professional positions and to elevate that staff to the level of the agency secretaries for health and welfare, resources, and other major state concerns. A small staff (there is no need for a large department), working with the existing state and local agencies and governing boards could provide the Governor with the policy formulation advice and policy implementation oversight that he or she needs to better manage the state's educational resources.

Such a staff would entail little or no additional cost, as the Governor's educational staff now includes two professional and two support positions.

Option 2: *Recommend that the Director of the California Postsecondary Education Commission be designated by statute as a member of the Governor's cabinet*.

This would give the Governor much more frequent and direct access to advice from CPEC and its director and encourage CPEC to take a more active part in administrative policy formulation. At the same time it would change CPEC's relationship to the Legislature and, perhaps, to the segments themselves.

APPENDIX A

GOVERNANCE OF THE CALIFORNIA COMMUNITY COLLEGES

Issue paper No. 9, as it appeared in the Commission's Agenda for February 17-19, 1987, presented two options for strengthening the governance of the Community Colleges. The first option combined the Commission's recommendations in The Challenge of Change with modified recommendations from the Bowen/Glenny report on Community College governance. The second option provided that the Community Colleges be reorganized into a single system similar to the California State University.

Following lengthy debate, staff was directed to return with three options (covering the same range of choices) in a skeletal form that would make clear the fundamental differences among the three. Staff was also directed to list those recommendations from The Challenge of Change and the Bowen/Glenny report that would apply to all of the options.

The matrix that follows is intended to satisfy the first directive. It compares the principal characteristics of the existing governance structure with three optional structures:

Option 1. A state "regulatory coordinating" body superimposed upon the existing district structure. The districts would be delegated all authority to manage the colleges other than the regulatory powers delegated to the state Board of Governors.

Option 2. A unified state/local system that maintains the existing district system but in which authority in academic and financial matters flows from the state governing board to the district boards.

Option 3. A state Community College system in which districts have been eliminated.

Following the matrix, we have listed all the recommendations from The Challenge of Change and the Bowen/Glenny report, as presented in February, and indicated to which of the options each might apply.

Principal Characteristics of the Optional Governance Systems

General Description	State Governance	District Governance
Existing System: State coordinating board superimposed on existing district-based system carried over from the public school system.	Board of Governors consisting of 13 members appointed by the Governor for 4-year terms, 1 faculty representative, and 1 student (15). BoG appoints state Chancellor.	District governing boards (70) of 5-7 members each elected for 4-year terms plus 1 student member. DB appoints district CEO.
Option 1: Regulatory coordinating board for existing district-based system.	Board of Governors consisting of 4 ex officio members, 13 appointed by Governor for 8-year terms, 1 faculty member, and 1 student (19). BoG appoints state Chancellor.	District governing boards (70) as above.
Option 2: Unified state/local Community College system with a strong state governing board that is delegated broad policy making and management responsibilities by the Legislature.	Board of Governors consisting of 4 ex officio members, 9 appointed by Governor for 8-year terms, 4 selected from districts, 1 faculty member, and 1 student (19). BoG appoints state Chancellor and confirms district CEO's.	District governing boards (70) as above.
Option 3: Centralized state Community College system	Board of Governors consisting of 4 ex officio members, 13 appointed by Governor for 8-year terms, 1 faculty member, and 1 student (19). BoG appoints Chancellor and college presidents.	No district boards. College advisory boards appointed by college presidents.

Academic Management	Financial Management	Personnel Management
Existing System:		
BoG: Approves state-funded programs, establishes minimum academic standards, approves district academic plans.	BoG: Establishes minimum standards for budgeting and accounting, approves capital outlay budgets of districts.	Each district has its own personnel system as provided by statute. BoG shall establish minimum standards of employment of academic & administrative staff. BoG staff is within state civil service system.
DBs: Approves all courses and programs, establishes academic standards	DBs: Approve and administer district support budgets funded according to statutory formula.	
Option 1:		
BoG: As above, plus establishes degree requirements and requires districts to provide mandatory assessment, counseling, placement, and follow-up programs.	BoG: As above except that state appropriation goes to BoG for reallocation among the disticts. In addition, BoG authorized to conduct management audit of districts and to recommend appropriate changes as needed.	District personnel systems as above. BoG staff removed from state civil service.
DBs: As above.	DBs: As above.	
Option 2:		
BoG: Comprehensive authority for academic affairs; may delegate authority to district boards.	BoG: State support appropriated to BoG according to nonstatutory differential funding formulas. Reallocated among districts according to BoG formulas.	As above.
DBs: Authority as delegated from BoG.	DBs: Districts exercise delegated financial management authority.	
Option 3:		
BoG: Comprehensive authority for academic affairs; may delegate authority to Academic Senate, college presidents.	As above, except that local financial authority delegated to colleges.	Single statewide personnel system under the authority of the BoG.

Other Management	Consultation	Faculty Role	Student Role
Existing System:			
BoG approves changes in district boundaries. Districts have direct access to Governor and Legislature.	Ad hoc consultation between BoG and districts.	Relatively weak local and state academic senates. Collective bargaining with district boards for salaries, benefits, working conditions, and other professional and academic matters.	Embryonic student participation.
Option 1:			
As above, plus BoG approves any restriction on interdistrict attendance.	Formal consultation structure for districts established by statute. Consultation with interest groups established by BoG.	Stronger academic senate role in the determination of academic standards, course approval, faculty hiring and evaluation, and other academic functions as provided by BoG. Collective bargaining.	Increased student participation in appropriate aspects of campus and district administration.
Option 2:			
As above, except BoG represents all Community College interests at state and federal levels.	As above.	As above with development of collegial governance. Collective bargaining.	As above.
Option 3:			
As above.	Formal consultation with campus administrators, faculty, and students established by BoG.	As above. Collective bargaining.	As above.

Following is a list of recommendations from *The Challenge of Change* and the Bowen/Glenny report that were included under Option 1 in the February 17-19, 1987 version of the governance issue paper. To the right of each recommendation are the numbers of the revised options under which it might be included:

Recommendations	Options
1.1 The Community College System	
The Governor and Legislature clarify existing policy to recognize the Board of Governors and the Trustees of the Community College districts as the "California Community College System." (B/G 1)	1, 2
The kind and quality of communication links among the many parties with official and unofficial interest in Community College affairs should be substantially improved by use of greater structure, better processes, and more numerous contacts, especially between the Board of Governors and the Community College districts. (B/G 2)	1, 2
To this end, the Board of Governors should establish by regulation an advisory committee consisting of trustees and chief executive officers from the Community College districts and representatives of the Statewide Academic Senate. (B/G 2.1)	1, 2
The Board of Governors should also establish by regulation an interassociation advisory panel consisting of representatives from the several associations, unions, and other organizations with special interests in Community College affairs. (B/G 2.2)	1, 2, 3
In addition, the Board should create task forces, working groups, and advisory committees for each of its principal operating and planning functions to consist of appropriate persons drawn from the districts, other government agencies, private organizations and the citizenry at large. (B/G 2.3)	1, 2, 3
1.2 Membership and Terms of the Board of Governors	
The Legislature add to the Board of Governors as ex officio members the Governor, Lieutenant Governor, Speaker of the Assembly, Superintendent of Public Instruction, and Chancellor. (48)	1, 2, 3
The Legislature increase the (staggered) terms of appointed members from four years to eight years. (49)	1, 2, 3

1.3 Powers and Duties of the Board of Governors

The Legislature increase the Board of Governors' authority with respect to admission standards, program development, data collection, faculty and staff affirmative action, and the budgeting and allocation of state support. (47)	1, 2, 3
The Board of Governors should be delegated broad leadership, policy, planning, and research functions as primary responsibilities by the Legislature, and its fiscal, programmatic, and informational control responsibility and authority should be explicitly defined. (B/G 1.1)	1, 2, 3
The Legislature direct the Board of Governors to issue an annual public "report card" summarizing important aspects of the educational accomplishments and financial condition of each district according to previously determined measures. (52)	1, 2
The Board of Governors be authorized to conduct a management audit of any district according to previously determined criteria; that on the basis of the findings of the management audit the Board be authorized to recommend appropriate changes in the district's management practices. If the district subsequently fails to comply with those recommendations, the Board be authorized to implement appropriate sanctions, including appointment of a special trustee. (53)	1, 2
The Board of Governors conduct a thorough review of all statutes affecting the administration and operation of the Community Colleges, and recommend to the Legislature the amendment or repeal of those provisions regarding the management of the districts and colleges that have become obsolete in light of the increased authority being granted to the Board of Governors and of the clear postsecondary role of the colleges. (54)	1, 2, 3
The Board of Governors, in consultation with local districts and the appropriate state control agencies, should coordinate the legislatively mandated study of academic accountability with (1) its review of delineation of authority, (2) its development of an information system, and (3) its continuing development of long-range planning procedures. (B/G 5)	1, 2
The Board of Governors, in consultation with the districts, should review the current comprehensive planning project with the objective of simplification in light of: (a) current legislation on fiscal and academic accountability; (b) recommendations in the present report on organization of the Chancellor's Office and on information systems. (B/G 6)	1, 2

The Board of Governors, in consultation with the districts, should explore extension of its annual "Basic Agenda" to include major statewide planning goals and objectives. (B/G 6.1)	1, 2, 3
The Board of Governors, in consultation with the local districts and appropriate state control agencies, should diligently pursue current plans to establish an information system to support planning, policy development, and accountability in the Community College system. (B/G 3)	1, 2, 3

1.4 Financial Support and Fiscal Accountability

The Legislature repeal the current support budget formula for the Community Colleges and that the Board of Governors and the Department of Finance develop a set of nonstatutory budget instructions. (61)	1, 2, 3
The Board of Governors develop and implement, with the approval of the Governor and the Legislature, a simplified system of "differential funding" to be used in budgeting state support for the Community Colleges. This system should incorporate workload measures for student services, plant maintenance and operation, and campus administration other than FTE enrollment. Consideration should be given to segregating remedial instruction costs from other instructional costs to allow for the generally higher cost of remediation. (62)	1, 2, 3
The Legislature authorize the Board of Governors to allocate state support among the districts according to rules and regulations to be established by the Board. (66)	1, 2
The Board of Governors and the Chancellor's Office, in consultation with local districts and appropriate state control agencies, should immediately begin implementation of current legislation on fiscal accountability. (B/G 4)	1, 2
The authority of the Chancellor should be increased under current legislation to authorize requirement of federal bankruptcy proceedings or the appointment of a trustee for a district, or both, under appropriate circumstances as a last resort to avoid financial disaster. (B/G 4.1)	1, 2
The authority of the state Chancellor should be increased under current legislation to provide for the removal from office of any district officer or employee who knowingly violates the provisions of the fiscal accountability statutes. (B/G 4.2)	1, 2
The county superintendent of schools should be eliminated as a necessary party to Community College fiscal accountability procedures. (B/G 4.3)	1, 2, 3

1.5 Chancellor's Office

The California Constitution be amended to remove the Chancellor's Office staff from the state civil service system and a separate merit system for that staff be established. (50)	1, 2, 3
The Legislature authorize the Board of Governors to determine where the Office of the Chancellor should be located so that it can carry out all of its responsibilities most effectively. (51)	1, 2, 3
The Community College Chancellor's Office should be deliberately organized to support both its primary responsibility for statewide policy and planning on the one hand and its distinct regulatory responsibilites on the other. (B/G 1.2)	1, 2, 3

1.6 District Governing Boards

The Legislature require all elections for members of Community College district governing boards be held in November of even-numbered years. (56)	1, 2
The Board of Governors, in cooperation with the districts and other interested agencies, prepare and administer a systematic training program for district governing board members that covers district financial management, academic policy making, collective bargaining, statewide standards, and other matters essential to the effective operation of district governing boards. (57)	1, 2
Each local district board should be delegated all responsibility and authority for governing and managing its colleges, subject however to regulatory functions explicitly enumerated and delegated to the Board of Governors. (B/G 1.3)	1

1.7 Faculty Senate Role

The Board of Governors strengthen the role of faculty senates with respect to the determination and administration of academic standards; course approval; hiring, retention, and evaluation of faculty; and other academic functions. (58)	1, 2, 3

1.8 Student Participation

The Board of Governors, working with district and student representatives, develop a plan for encouraging greater student participation in appropriate aspects of campus and district administration. (59)	1, 2, 3

ISSUE PAPER NO. 10

INTERDISTRICT ATTENDANCE AMONG THE CALIFORNIA COMMUNITY COLLEGES

Introduction

The matter of Community College interdistrict attendance was first brought to the Commission's attention following passage of Assembly Concurrent Resolution 54 of 1985. ACR 54 requested the Commission to conduct a study of interdistrict attendance among the Community Colleges and to report its findings and recommendations in its report on the Master Plan for Higher Education (see Appendix A). Representatives of several Community College districts in the Los Angeles area who were involved in a dispute regarding interdistrict attendance also urged a Commission study.

As the Commission was then conducting its Community College reassessment study, it initially decided, in accordance with ACR 54, to postpone study of the issue until it began the Master Plan study. In December 1985, however, the Commission requested the staff to provide additional information on the issue. In January 1986, the Commission reviewed the staff report and, without opposition, adopted a recommendation that the issue be addressed in the Master Plan study, and, in the interim:

> The Commission request the Board of Governors to direct the Chancellor to assign one member of his staff to work closely with Los Angeles CCD and those neighboring districts for which it had established attendance restrictions to resolve their conflicts. The Chancellor's representative should seek to mediate the differences among the districts and help to develop a plan with a definite timeline minimizing enrollment losses to LACCD and lifting enrollment restrictions at an early date.
>
> The Board of Governors should be requested to report back to the Commission within six months as to its progress in this endeavor so that the Commission can take this effort into consideration in preparing its response to ACR 54.

The Commission's request was conveyed to the Chair of the Board of Governors in a letter dated February 3, 1986, but no action was taken by the Board. Staff has recently been told that the Board did not act because it has neither the staff nor the statutory authority to do so. The Chancellor's Office has, however, provided staff with a report on interdistrict attendance that has been very helpful in preparing this paper.

Now the issue is back before the Commission for consideration in the Master Plan in compliance with ACR 54.

Background

The territory of the State of California is divided into 70 Community College Districts that operate 1 to 9 colleges each. The district boundaries have been drawn in most cases to coincide with the boundaries of the public school districts from which the Community Colleges emerged and of the counties which were not served by Community Colleges prior to 1960. Each district is expected to serve its residents, who elect the district governing board and who, prior to adoption of Proposition 13, provided a substantial share of district revenues from their property taxes. Originally, the districts were not necessarily expected to be responsible for residents of other districts. Interdistrict attendance was discouraged by the public schools with which they were initially associated and certainly was not encouraged by current expense and capital outlay funding arrangements.

Thus interdistrict attendance was (and still is) governed by statutory provisions (see Appendix B) regarding interdistrict attendance agreements, notices of (interdistrict attendance) restriction, and special permits for individual students. Inasmuch as property tax revenues and most state aid went to the district of residence, interdistrict attendance agreements were necessary to provide for payments from the district of residence to the district of attendance whenever significant numbers of students were involved. Understandably districts were not eager to accept large numbers of students from neighboring districts in the absence of adequate payment.

With the changes that have occurred in Community College funding, however, the situation has been reversed. Unless already overcrowded, districts are happy to accept students from neighboring districts because state funding comes with them. Now the sending districts are understandably reluctant to part with large numbers of students because they lose the funding that goes with them. Thus a sending district may resort to "notices of restriction" in an attempt to reduce an outflow of students to neighboring districts if it can't obtain what it believes to be adequate compensation through interdistrict agreements.

At the same time, of course, it has become more and more difficult to justify any interference in the "free flow" of students from one district to another. All Community College support is now essentially state support to which all citizens contribute regardless of their district of residence. Community College students average 29 years of age. There is no more reason, for example, to restrict Sacramento residents to the colleges of the Los Rios Community College District than there is to require them to attend CSU Sacramento rather than CSU Chico or CSU San Diego.

As a consequence, interdistrict attendance, according to data reported by the Chancellor's Office of the California Community Colleges* is at its highest level in at least 10 years. Twelve percent of all Community College students (16 percent of ADA) attend a college outside their district of residence. These are students who are known to live in one district and enroll in another; doubtlessly many others establish post office box addresses or use other means to appear to be residents of the district in which they are enrolled.

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*These and subsequent data, unless it is otherwise noted, are drawn from the preliminary draft of the "Report on Interdistrict Attendance," Chancellor's Office, Research and Analysis, November 1986.

Issue Elaboration

According to the Chancellor's Office, "unrestricted interdistrict enrollment or 'free flow' is the current pattern" through the state except in Los Angeles County. Statewide, students who cross district boundaries "are more often young, male, Blacks, enrolled for credit, and pursuing job skills". Students enroll at colleges in neighboring districts because those colleges are actually closer to their homes, offer specific programs they want, are perceived to have better programs or a better general curriculum, have better facilities, or their student characteristics appear more attractive as compared with the college or colleges in the districts in which the students reside.

In Los Angeles County, however, the situation is different. Los Angeles Community College District has suffered enrollment declines from 1982 through 1985, with very heavy losses recorded in 1982 and 1983. Seeking to reduce its losses, it has sought to restrict the attendance of its residents in colleges in neighboring districts. In 1984, Los Angeles CCD threatened to curtail attendance of its students in seven of its neighboring districts, including Santa Monica Community College District. A special provision of the Education Code guaranteeing unrestricted attendance by LACCD students at Santa Monica Community College up to the equivalent of 5,000 ADA became ineffective after July 1, 1985. Faced with the possibility of significant losses of enrollment themselves, Santa Monica and most of the other districts signed agreements with Los Angeles either to restrict enrollment migration or, in the case of Santa Monica, to pay LACCD various amounts for the enrollment of LACCD residents in excess of 5,000 ADA.

In contrast to the rest of the state, Los Angeles CCD residents who attend college in other districts are most often white and enrolled in transfer curricula. The loss of these students, coupled with declining enrollment generally, has had a serious impact on the district both educationally and financially. According to the Chancellor's Office, there are some restrictions or threatened restrictions on interdistrict enrollment elsewhere in the state, but only in Los Angeles county has the matter become a serious problem.

The controversy regarding interdistrict attendance restrictions in the Los Angeles area led to passage of ACR 54 requesting a study by this Commission. It also led to proposed legislation in 1985 (AB 267 and SB 225) which would have permitted unlimited interdistrict attendance except when the receiving district did not have sufficient space to accommodate students from other districts. That legislation eventually gained the support of the Board of Governors of the California Community Colleges, although the Board initially favored a process that would have encouraged districts to negotiate agreements and would have made the Board the final arbiter in unresolved disputes. Nevertheless, the legislation was not successful.

ACR 54 specifically asks the Commission to examine the effects of student migration (interdistrict attendance) upon:

1. Duplication of courses and program offerings;

2. Recruitment of students;

3. The fiscal integrity and financial planning capability of the Community Colleges that the students would otherwise attend; and

4. The change in ethnic composition of affected colleges.

With respect to course and program duplication, it is probable that unrestricted interdistrict attendance tends to reduce such duplication among the districts. If students are free to enroll in specialized academic or occupational programs offered by a neighboring district, there is less pressure upon their district of residence to also provide such programs. Interdistrict attendance should aid interdistrict planning of program offerings. At present, according to the Chancellor's Office, "while there is some program specialization among colleges...most districts try to offer comprehensive programs and services at each college regardless of offerings at other districts." Yet some districts also attempt to specialize in certain areas and "some interdistrict enrollment is the result of such specialization."

As to the recruitment of students, it seems clear that unrestricted interdistrict enrollment does encourage districts to compete for students in various ways, and particularly for those students who reside closer to a campus of an adjacent district than to a campus of their district of residence. The Chancellor's Office states that "Transportation is the most significant college-going cost facing community college students... Consequently, those students for whom the shortest commuting time and distance is to a college in another district will want to attend that college if the program they seek is available." Such attendance may have desireable and undesireable consequences for the districts concerned, but competition among districts for students should have net benefits to the students and to the state.

Mature campuses may have a substantial advantage over new, developing campuses, but districts should take this into account when deciding to build and when selecting sites for new campuses. And, in any case, many students who want to enroll in a college in another district are likely to find a way to do so regardless of restrictions.

With respect to the impact of interdistrict attendance on the "fiscal integrity" and financial planning capability of the Community Colleges that the students would otherwise attend, it is clear that the loss of potential enrollment and revenue may be a problem. The initial movement of students out of their district of residence may result in a loss of funding for the programs in which they were enrolled, which may force program cutbacks, which may cause more students to leave. However, interdistrict attendance is only one of many facotrs affecting enrollment within a district, and it should not by itself be a major problem except when there are sudden increases or declines in such attendance.

Such changes may be beyond the district's control or they may result from district actions. Currently, Los Angeles CCD accounts for one-half of all known migration of students from one district to neighboring districts. Los Angeles reported a net outflow of nearly 25,900 students in the spring of 1985, an increase of one-third over the number for the preceding year. The Chancellor's Office attributes the increase to "(a) the impact of the new mandatory enrollment fee, which resulted in a greater cost increase for Los Angeles students than for students attending colleges in most of the neighboring districts, (b) the Los Angeles district moving to an academic calendar for 1984-85 that started earlier than most of its neighbors, (c) publicity surrounding the renegotiation, during 1984-85, of interdistrict agreements on students flow, and (d) other factors..." The "other factors" reported by the Chancellor's Office (from LACCD studies) include the desire of "younger, white and Asian students" to obtain transfer instruction and, more recently, occupational training presumably not available to them in the Los Angeles CCD equally close to their homes.

As to changes in the ethnic composition of districts, there is again, no clear evidence that interdistrict attendance is an important factor. According to the Chancellor's Office data, Los Angeles CCD has experienced a net loss of white, Asian, and Hispanic students and a net gain of Black students, making it somewhat "less ethnically balanced." But the adjacent districts received a higher percentage of minority students than they previously enrolled and so became "more ethnically balanced." In the San Francisco Bay area, the result has been the opposite, and elsewhere in the state "the impact does not appear to be significant."

Policy Options

The principal policy option that the Commission has proposed is:

Option 1: Recommend that the basic policy of the state shall be that there be no restrictions on interdistrict attendance and that the Board of Governors be granted sole authority to restrict interdistrict attendance temporarily where in its opinion such attendance would result in overcrowding or would otherwise unduly jeopardize the educational programs or financial health of a district.

Community College students, like other college students, are adults who have the right to live and attend college where they wish. Students should be able to enroll in a college in another district that offers programs not available in their district or that is closer to their places of employment or more attractive for other reasons. However, the Board of Governors should have authority to restrict enrollment whenever necessary to promote the orderly development and operation of individual districts and colleges, just as the UC Regents and CSU Trustees control enrollments on the campuses under their jurisdiction.

APPENDICIES

A. Assembly Concurrent Resolution 54 of 1985.

B. Education Code provisions regarding interdistrict attendance.

APPENDIX A

ASSEMBLY CONCURRENT RESOLUTION NO. 54 (HUGHES)

WHEREAS, The California Community Colleges have experienced an extensive loss of enrollment in the past two years, resulting in the need for program and class reduction of an unprecedented magnitude; and

WHEREAS, Enrollment in inner-city schools has been particularly affected, to the point that the comprehensive nature of the course offerings of many of these colleges is threatened; and

WHEREAS, It may not be in the best interest of the people of the State of California that attendance at the public community colleges be restricted to a person's district of residence; and

WHEREAS, Community college districts are currently empowered to restrict the loss of students to neighboring districts through a notice of restriction, or to limit out-of-district attendance to certain courses or conditions through interdistrict attendance agreements, in order to stabilize enrollment; and

WHEREAS, The Legislature recognizes that community college district boundaries are often irregular in configuration, requiring many students to attend community colleges in less convenient locations; and

WHEREAS, One of the goals of the community colleges is providing each resident of the state an equal opportunity to attend the community college of their choice, and

WHEREAS, No comprehensive study has been made of the reasons that students choose to attend community colleges outside of their districts of residence; and

WHEREAS, No comprehensive study has been made of the effects of this student migration on duplication of courses and program offerings, recruitment of students, the fiscal integrity and financial planning capability of the community colleges that the students would otherwise attend, and the change in ethnic composition of affected colleges; now, therefore, be it

Resolved by the Assembly of the State of California, the Senate thereof concurring, That the Commission for the Review of the Master Plan for Higher Education is hereby requested to conduct an investigation of these factors and to include, in its report to be conducted under Section 66903.7 of the Education Code, its findings and recommendations resulting from that investigation; and be it further

Resolved, That the Chief Clerk of the Assembly transmit a copy of this resolution to the Commission for the Review of the Master Plan for Higher Education and the Board of Governors of the California Community Colleges.

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APPENDIX B

Article 2. Interdistrict Attendance
(Enacted by Stats. 1976, Ch. 1010)

Admission to Community College in Another District

78030. (a) Subject to the provisions of Article 1 (commencing with Section 76000) of Chapter 1 of Part 47, a district resident, as defined for purposes of Part 41 (commencing with Section 68000), shall be admitted to a community college in another district unless the admission would be contrary to the terms of an interdistrict attendance agreement or a notice of restriction.

(b) A district resident may be entitled to enroll and may be admitted to a community college in another district; provided that the governing board of the receiving community college district has approved the admission and has determined that space is available at that community college.

(c) Attendance of these students shall be separately recorded and reported to the Chancellor's office of the California Community Colleges.

(d) The governing board of each community college district shall prescribe rules and regulations for implementation of this section.
(Amended by Stats. 1982, Ch. 251.)

Interdistrict Attendance Agreement

78031. An interdistrict attendance agreement may be entered into between two districts specifying the terms and conditions under which district residents of one district may attend a community college in the other district. The agreement may be for any period agreed upon but for not less than one year.
(Amended by Stats. 1981, Ch. 470.)

Notice of Restriction

78032. A district may restrict admission of its residents in a community college of another district or it may restrict admission of residents of another district into its community college or colleges by means of a notice of restriction. The notice of restriction shall be sent to the district to which it applies, to the county superintendent of each county containing all or part of both districts, and shall be published in the catalog of the district issuing the notice and of the district to which the notice applies. A notice of restriction shall be effective with that term or session which begins at least 125 days after receipt of the notice by the district to which it is directed. It shall continue in effect until withdrawn. A district receiving a notice of restriction shall not permit attendance contrary to the notice.
(Amended by Stats. 1981, Ch. 470.)

Student's Appeal to County Board

78033. If within 30 days after having requested permission to enroll in a community college of another district, a resident student is not permitted to attend because of the terms of an interdistrict attendance agreement or a notice of restriction, an appeal may be made to the county board of education in the county of the student's residence. The appeal may be made by the student, his or her parent, or his or her guardian.

Within 30 days after the filing of the appeal the county board of education or its delegated representative shall grant or deny the appeal.

If the appeal is granted and attendance is allowed, the district of residence shall pay tuition to the district of attendance in accordance with an interdistrict attendance agreement which is in effect between the districts. In the absence of an interdistrict attendance agreement that rate of tuition shall be the same as that charged to nonresidents by the district of attendance, less one hundred twenty-five dollars ($125).
(Amended by Stats. 1981, Ch. 470.)

Interdistrict Attendance of Handicapped Student

78035. A handicapped district resident, notwithstanding any interdistrict attendance agreement or notice of restriction, shall be permitted to enroll and be admitted to a community college of another district which offers special programs or services not available in the district of residence. For purposes of tuition to be paid on account of the attendance of the student, the student shall be deemed to have been admitted pursuant to Section 78033.
(Added by Stats. 1978, Ch. 1403.)

ISSUE PAPER NO. 11

UNDERGRADUATE EDUCATION: PRIORITY FOR UNDERGRADUATE EDUCATION; CURRICULAR OBJECTIVES AND EVALUATION; TEACHING INCENTIVES.

Introduction: Overview

American undergraduate education recently has been subject to a rising tide of criticism from the public, state legislatures, governors, and many educators.* The criticism has focused on the undergraduate curriculum and the faculty's relationship to that curriculum. Critics recognize that American higher education is the best in the world, but implicitly questioned whether such preeminence will continue given current trends and assumptions within the American college and university communities.

The arguments and questions raised in this paper are based primarily upon six of the most well-known and respected recent national reports on education. These six reports incorporate virtually all the criticisms currently being directed at undergraduate education. The reports:

1) Association of American Colleges (AAC), "Integrity in the College Curriculum."

2) Carnegie Foundation for the Advancement of Teaching, "The Undergraduate Experience in America."

3) Education Commission of the States (ECS), "Transforming the State Role in Undergraduate Education."

4) National Commission on the Role and Future of State Colleges and Universities, "To Secure the Blessings of Liberty," prepared by former Education Secretary Terrel Bell. (Hereafter referred to as the Bell Report.)

5) National Endowment for the Humanities (NEH), "To Reclaim a Legacy."

6) National Institute of Education (NIE), "Involvement in Learning: Realizing the Potential of American Higher Education."

The six reports were written for different constituencies with different objectives in mind. They are characterized, however, by a remarkable commonality. The reports vary in how serious they perceive the problems to be (AAC, for example, describes a "profound crisis" in higher education while NIE points to "the warning signals"), but the reports focus on the same themes and level similiar criticisms at the higher education system.

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*Lovice Becker of the Johnson Foundation in Racine, Wisconsin has developed a list of over 30 recent national reports on undergraduate education. Even this list does not include several of the latest critiques.

A major problem cited is the lack of a clearly articulated mission regarding the general education of undergraduates. Plagued by proliferating and ever more specialized disciplines, a rigid departmental structure, faculty professionalism and student careerism concerns, the critics contend that the universities no longer have a sense of an underlying common purpose -- with a concomitant ordering of priorities. The Carnegie report notes the conflict between the careerism of both faculty and students and the broader aims of liberal arts education, the competition among the disciplines, and the resulting confusion about how (and even whether) to impart shared values on which the vitality of both higher education and society depend. The authors ask if it is even possible in the current setting for "administrators, faculty and students, with their separate interests to agree on a vital mission for undergraduate education" (p.16).

Virtually all of the reports take a critical look at the predominance of the values of the research university in the determination of faculty priorities. They cite Ph.D. training programs with their narrow research foci, resultant professionalism, and the development of a psychology that ultimately produces faculty "with an allegiance to academic disciplines stronger than their commitment to teaching or to the life of the institutions where they are employed" (AAC, p.4).

Faculty tendencies toward specialization, in turn, are reinforced by a vocational mind set on the part of many students which demands expedient, narrow credentialing for entry into the job market. Too often the students see little value in the broader concerns of the liberal arts. The universities, then, driven by enrollment based budgets, have been willing to accede to student interests.

The result has been an incoherent curriculum characterized by a lack of common objectives for students, unrelated specialized curricular offerings, and campuses becoming "supermarkets" from which students can select courses essentially at random. There is no clear vision of "what constitutes an educated person" (NEH, p.3), no common definition of what skills, capacities, and knowledge a student should develop (NIE), nor concerted effort in "preparing students for citizenship and social responsibility" (ECS, p.11). Forcefully articulated in the AAC report is the question of what the baccalaureate degree signifies: is it merely a vocational degree, or should its award connote some common mastery of skills and knowledge, and represent that the holder is at least conversant with the major philosophical concerns and questions arising from a study of the liberal arts?

In arguing that undergraduate education in baccalaureate institutions should provide certain common references and competencies, most of the reports call for the establishment of integrated core curricula to be required of all students. Several of the reports also advocate the development of an international component in the curriculum -- given the changing nature of international relations and the emerging world economy.

The reports also focus on teaching within the academy. All agree that too little priority is given to undergraduate teaching and they unanimously call for the modifications of current faculty reward structures with their overemphases on research criteria. No one suggests that research should be eliminated, but rather the reports question the value system that surrounds the research effort: "The enemy of good teaching is not research, but rather the spirit that says that this is the only worthy or legitimate task for faculty members" (AAC, p.5). The reports also discuss the lack of training of Ph.D.s as teachers, the need for more research into the teaching/ learning process, the necessity of actively involving students in their education, and the inadequacies of the lecture system with its reliance on the passive reception of knowledge by students.

Finally, all of the reports except NEH devote considerable attention to assessment and evaluation: assessment not just of students in terms of specific skill's development or individual course mastery, but assessment of the curriculum and the institutions as they influence the growth of students over time. As AAC puts it: "How does anyone know that the curriculum really works? There must be ways of demonstrating to state legislatures, students, and the public at large that the colleges know what they are doing (or do not know) and they are doing it well (or poorly). The colleges themselves must be held responsible for developing evaluations that the public can respect" (p.14).

The national reports -- at least the early ones -- have been criticized (the Bell and Carnegie studies were just released in November and there has been little time for response). Martin Trow of UC Berkeley, for example, while acknowledging that he could accept most of the reports' recommendations, castigated the AAC, NIE, and NEH reports for their excessive rhetoric and negative tones. Specifically, he criticized the reports for (1) being too sweeping in their generalizations without making adequate reference to the diversity extant in American higher education, (2) a lack of specific evidence leading the authors to generalized stereotyping and an exaggeration of the problems, and (3) the language of the reports which overstates the problems ("disaster, crisis, decay, decline") and thus runs the risk of reducing public confidence in the institutions, confidence which is imperative if the universities are to maintain the autonomy upon which their excellence depends (Trow, pp.4-20).

Trow's points regarding generalization and specific evidence are certainly true. The NIE, AAC, and NEH reports were the result of work by panels of leading educators from throughout America's higher education sectors and the panelists generalized from their own experiences rather than conducting studies or building evidence as in a research paper format. However, as UC's "Smelser report" was later to say, "...while some (charges) are not well documented -- and are, in any event, too sweeping and unqualified -- the very fact that so many educational and other leaders would append their names to these kinds of charges is in itself cause for concern" (Smelser, p.45, see below). Perhaps even more to the point, since Trow's criticisms were made the Carnegie report has been released. The report -- based on a $1 million three-year study involving surveys of 5,000 professors, 5,000 college students, 1,000 college administrators, 1,000 high school students, and 1,000 parents -- is regarded as one of the most systematic and thorough reviews ever conducted of four-year institutions. The Carnegie study reaffirmed and reiterated virtually every one of the major points made in the earlier reports.

The national reports have helped to spark several important studies in California's universities. In May of 1986, the CSU systemwide Academic

Senate submitted a detailed "Self-Study of Undergraduate Education" to Chancellor Reynolds. The study had been conducted "in relation" to the three national reports. In June of 1986, a special UC systemwide task force chaired by prominent sociologist, Neil Smelser, submitted a lengthy report to President Gardner on "Lower Division Education in the University of California" (the Smelser report). Again, the national studies were recognized as a major impetus in the development of the report.* And finally, in July 1986, the UCLA student Academic Affairs Commissioners published a detailed analysis of the student perspective on undergradute education at UCLA entitled, "A Need for Reform." The students convened a conference on undergraduate education at UCLA and then wrote their study in light of the national reports: reports which to the students "confirmed that the experiences and problems undergraduates at UCLA were confronting fit a national pattern" (p.2) and that student "dissatisfaction" at UCLA "echoed what educational reformers were highlighting as the critical problems plaguing undergraduate education throughout the nation" (p.7).

This paper does not cover all of the problems and recommendations cited in the national reports. It is concerned only with the over-arching issues which lend themselves to state policy consideration and is divided into three basic parts: (1) priorities for undergraduate education in the public universities (2) curricular objectives and evaluation; and (3) incentives for teaching.

Finally, while the national reports look only at the four-year institutions in relation to undergraduate education, California is dependent on the Community Colleges for much of the state's general education. In the section on undergraduate priorities, the Community Colleges are not referred to as their undergraduate mission has already been dealt with in The Challenge of Change. However, the Community Colleges are addressed in certain of the recommendations regarding curricular objectives and evaluation, and to a lesser degree in the section on teaching.**

Issue 1: What public policy should the Commission recommend regarding priority for undergraduate education in the California State University and the University of California?

Background

In the Carnegie report, American undergraduate colleges were characterized as confused over their purposes and racked by tensions that prevent the institutions from providing coherent educational experiences for students. Carnegie found "deep divisions on the campuses, conflicting priorities, and competing interests that diminish the intellectual and social quality of the undergraduate experience..." (p.16). Too many institutions lack clear missions and as a result end up trying to be all things to all people.

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*The Master Plan Commission also was cited as an impetus to the development of the study.

**The two-year institutions are already defined as almost exclusively teaching institutions, so that many of the teaching options under Issue #3 are irrelevant to their situation.

In large part, the tensions and divisions that Carnegie refers to are the products of the rapid proliferation of knowledge since World War II, and the concomitant growth of the research function and graduate and professional education in the universities. Specialization has become necessary to handle the explosion of knowledge, and the research university, with its professionalized faculty, has emerged as the general model for excellence in educational development. Observers have long noted that undergraduate education has directly suffered as a result (see Neil Smelser's 1973 essay, "Epilogue," in Talcott Parsons' The American University).

The problem was summarized best by UC Professor Joseph Tussman in the introduction to his book, Experiment at Berkeley. Tussman characterized the root of the problem as a conflict between the modern university, with its emphasis on knowledge pursuit, and the older model of the liberal arts college, with its emphasis on teaching. Writing at the height of the student disturbances in 1969, Tussman argued:

> The most significant conflict on the modern campus is not the most dramatic one. It is not between students and administration, or faculty and administration, or faculty and students; it is the subtle conflict between the university and the college...
>
> The university is the academic community organized for the pursuit of knowledge. It is arrayed under the familiar departmental banners and moves against the unknown on all fronts. Its victories have transformed the world.
>
> The university is a collection of highly trained specialists who work with skill, persistence, and devotion. Its success is beyond question, but it pays the price of its success. The price is specialization, and it supports two unsympathetic jibes: the individual specialized scholar may find that, as with Oedipus, the pursuit of knowledge leads to impairment of vision; and, the community of scholars, speaking its special tongues, has suffered the fate of Babel.
>
> The men who are the university are also, however, the men who are the college. But the liberal arts college is a different enterprise. It does not assault or extend the frontiers of knowledge. It has a different mission. It cultivates human understanding. The mind of the person, not the body of knowledge, is the central concern...
>
> The college is everywhere in retreat, fighting a dispirited rear-guard action against the triumphant university. The upper-division, dominated by departmental cognitive interests, has become, in spirit, a preparatory run at the graduate school, increasingly professional. Only the lower-division remains outside the departmental fold -- invaded, neglected, exploited, misused. It is there that the college must make its stand (pp.xiii-xiv).

But Tussman goes on to say that even the lower-division "is an educational wasteland" (p.19). He finally says that the faculty as the caretakers of the college have replaced the authentic banner of the liberal arts institution which says "cultivate wisdom" with a new flag which says "pursue

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knowledge." With this subtle shift, Tussman contends, "the difference in emphasis ultimately converts a college of intelligent teachers into a collection of mere scholars" (p.24).

The overarching questions thus become: what is the priority for undergraduate education amongst competing demands characterizing research institutions or other institutions which reflect the research ethic; how high a priority should the teaching of undergraduates assume in the modern university; and what is the role of the liberal arts and sciences, in an environment characterized by technical, specialized, and fragmented knowledge.

Several critics argue for "alternative models of institutional excellence" (ECS, p.27) to those presented by the research universities. Robert Atwell, President of the American Council of Education, suggests that we need "multiple models of excellence which reflect pluralistic educational goals and social demands" (p.11). If they were to develop other models, Atwell says, state institutions could truly excel in undergraduate education, carving out a niche for themselves in the free market that the research universities could not ever expect to fill (pp.11-12).

The critics agree that in developing alternative models of excellence "priority should be given to teaching, not research" (Carnegie, p.20). As AAC points out, "the emphasis on teaching ... does not require the denigration of research. The best teachers are often the best researchers. Imparting to students some sense of the wonders ... and uncertainties that accompany the experience of learning ... can and often should be intimately connected with the dissemination of new knowledge. But teaching comes first" (p.5). Even granting that there are a small number of universities whose primary mission is advanced research, the Carnegie report is adamant that even there such universities should place much more emphasis on the teaching function. ECS thus recommends that every institution review and more sharply define its educational mission and decide how the teaching of undergraduates fits therein (pp.20, 27).

Issue Elaboration

In the 1960 Master Plan, CSU was defined to have as its "primary function the provision of instruction in the liberal arts and sciences and in professions and applied fields ... for undergraduate students and graduate students through the master's degree." Faculty research "consistent with the primary function" was also authorized. The University was designated to "provide instruction in the liberal arts and sciences and in the professions ..." The University would have "the sole authority ... to award the doctor's degree" (except in joint doctoral awards with CSU). And the University was called upon as "the primary state-supported academic agency for research..." (pp. 42-43).

For CSU, the language of the Master Plan clearly established teaching as the institution's top priority. However, no differentiation was made between undergraduate teaching and graduate training (both follow the designation "primary function"), and the language on research "consistent with the primary function" of the institution was also ambiguous. While many associate such research with the undergraduate mission of the CSU, the language can as easily be interpreted to apply to graduate education which is also listed in the "primary function" sentence.

For UC, no clues as to institutional priorities are given. There is no designation of a primary function. Although the University is named as the primary academic agency for research, this does not necessarily infer that research is the institution's primary mission.

Since 1960, of course, the public university systems have issued many planning and mission statements. But such statements have done little to clarify institutional goals and priorities. In general, institutional definitions have been so broad as to allow the systems to continue to be all things to all people.*

On November 13, 1985, the Board of Trustees of the CSU approved the most recent Mission of the California State University.

> To advance and extend knowledge, learning, and culture, especially throughout California.
>
> To provide opportunities for individuals to develop intellectually, personally, and professionally.
>
> To prepare significant numbers of educated, responsible people to contribute to California's schools, economy, culture, and future.
>
> To encourage and provide access to an excellent education to all who are prepared for and wish to participate in collegiate study.
>
> To offer undergraduate and graduate instruction leading to bachelor's and higher degrees in the liberal arts and sciences, the applied fields, and the professions, including the doctoral degree when authorized.
>
> To prepare students for an international, multicultural society.
>
> To provide public services that enrich the university and its communities.

In order to accomplish its mission(s), the Trustees also adopted several stipulations. They said, among other things, that the CSU:

> Emphasizes quality in instruction.
>
> Provides an environment in which scholarship, research, creative, artistic, and professional activity are valued and supported.

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*The individual campuses of both CSU and UC also have mission and goals statements developed for the campuses in light of their own particular historical, environmental, and resources context. For reasons of space and clarity, it is impossible to analyze all those statements here. In general -- with a few exceptions -- the individual campus documents do not further clarify the issues we summarize below.

Stresses the importance of the liberal arts and sciences as the indispensable foundation of the baccalaureate degree.

Requires of its bachelor's degree graduates breadth of understanding, depth of knowlege, and the acquisition of such skills as will allow them to be responsible citizens in a democracy.

Requires of its advanced degree and credential recipients a depth of knowledge, completeness of understanding, and appreciation of excellence that enables them to contribute continuously to the advancement of their fields and professions.

While the stipulations to the CSU mission statement do emphasize quality in instruction and stress the importance of the liberal arts and sciences, the mission itself is quite broadly defined and begins with the advancement and extension of knowledge which, as Tussman pointed out (and as UC's mission statements make clear), is the essential operative assumption of the research university.

The reader might assume that we are playing with language here; that as a comprehensive regional university,* CSU's first priority will always be teaching However, there are a few factors which might lead one to question such assumptions.

It is common knowledge in educational circles that there are divisions within the CSU as to the role of scholarship or research in the promotion policies of various campuses. Some of the colleges are already defined by certain educators as quasi-research institutions, with research criteria very much in evidence for advancement to tenure. In a recent interview, the chair of the CSU systemwide Academic Senate acknowledged that "although teaching is supposed to be the number one criteria," it was true that "on several campuses, scholarship, broadly defined, has been placed equal to the category of teaching in the promotion process." The chair also pointed out that various concerns had led CSU recently to begin a "major review and study regarding criteria for faculty retention, promotion, and tenure" (interview, B. Goldstein, December 10, 1986).

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*For purposes of classification, colleges have been divided by various educational associations into five primary categories:

1. Research Universities, such as Harvard, the University of California at Berkeley, or Minnesota.
2. Other Doctoral Institutions, like the University of North Dakota, Texas A & M or Southern Illinois.
3. Comprehensive Institutions, which are usually large, typically offering to a regional clientele most standard academic programs, but none beyond the master's level.
4. Liberal Arts Colleges, which are small and usually exclusively undergraduate.
5. Two-Year Institutions.

The language "scholarship, broadly defined" is important to note, because "scholarship" has come to be differentiated conceptually from "research". Scholarship, as in the old definition of the teacher-scholar, was a broad term referring to those activities which kept an individual faculty member abreast of developments in the field, maintained faculty interest in intellectual development, and helped insure that a faculty member remained excited about knowledge and the teaching profession. "Scholarship broadly defined" might include basic research and publication, but it might also include pedagogical research and experimentation, involvement in professional organizations, attendance at disciplinary meetings, or just extensive reading and updating of educational materials. Scholarship in promotion proceedings was supposed to give evidence of the "quality of mind" of a faculty member when that faculty member became eligible for advancement.

Research, on the other hand, has come to mean publication -- and not just publication of one's ideas. Numerous publications are expected in prestigeous refereed journals, and such publications are to give clear evidence of expanding the basic knowledge of one's discipline.

At certain CSU campuses, at least, criteria for advancement to tenure have gone beyond scholarship and the quality of mind to research and publication. At CSU Fullerton, for example, "faculty members report unambiguously that tenure is associated with publishing." Over 84 percent of the CSUF faculty in a recent study agreed with the statement, "its very hard to get tenure in my department without publishing." In the same study, slightly over one-third of the faculty had already evolved to the point where they disagreed with the statement that "teaching effectiveness, not publication, should be the primary criterion for faculty promotion" (CSUF, "Senate Forum," Vol.1, No.2, pp.4-5).

The CSUF study also pointed out that the faculty was frustrated by a teaching load that was too high given research demands. The point of the study was that while CSUF would be defined as a comprehensive institution by any outside observer, "CSUF faculty display attitudes and behaviors that are not typical of comprehensive institution faculties. We are, in fact, much more like faculty in the 'other doctoral' institutions" (p.3).

UC apparently does not have a detailed mission statement for the system as a whole, but broadly defines its purposes in various planning documents and then leaves the articulation of specific missons to the individual campuses. UC, however, is first and foremost a research university as becomes quite evident in the system's long-range Academic Plans. The 1974 Plan, for example, listed as its first basic assumption:

> The distinctive mission of the University is to serve society as a center of higher learning, providing long-term societal benefits through transmitting advanced knowledge, discovering new knowledge, and functioning as an active, working repository of organized knowledge. That obligation, more specifically, includes undergraduate education, graduate and professional education, research, and other kinds of public services, which are shaped and bounded by the central and pervasive mission of discovering and advancing knowledge (p.5).

Virtually everyone acknowledges that UC has paid at least some price in the education of undergraduates for its emphasis on research and graduate education. Some merely accept that price, or argue that it is not too great, pointing out that the consequences are inevitable given the University's many functions and priorities. Others are less sanguine.

Provost Angus Taylor in his paper on "Undergraduate Education in the University of California" held as a major premise that "the many undertakings of the University ... give rise to circumstances that do in some cases endanger the status and quality of undergraduate education (pp.1-2). The Smelser report, discussed lower-division education as the "neglected child" of the UC system (p.1). The UCLA student report refers to the University's almost total preoccupation with research and graduate training, and talks about undergraduate students becoming "educational observers" rather than participants in their own learning" (p.1). Reknowned scholar and Director of UC Berkeley's freshman English program, Charles Muscatine, believes the University has an obligation to tell entering students, "you think you're going to get a first-rate education at UC, and if you were in graduate school here that would be the case. But as an undergraduate, you're getting a th[illegible]-rate education." ("Crisis on Campus," in the San Francisco Examiner, Marc[illegible] 1986).

One of the major problems is that given the demands of graduate education and research, UC ladder-rank faculty simply have little time for undergraduate teaching or extensive interaction with undergraduate students. A 1983-84 Faculty Time-Use Study, for example, showed that UC faculty were spending a little less time teaching each year. By 1984, the faculty were averaging 18 hours per week on sponsored research, but only 5.1 hours in the classroom teaching scheduled courses. Of these 5.1 hours, only 3.2 hours were in undergraduate courses including a mere 1.1 contact hours spent with lower-division students (cited in the UCLA student study, "A Need for Reform," and in the San Francisco Examiner article, above). Of course, many faculty also spent significantly more hours "teaching", by working with graduate students outside of scheduled classes. Faculty also had departmental, divisional and university administrative responsibilities, as well as office hours, advising, and public service obligations.

The lack of time for ladder-rank faculty to teach undergraduate students results in two potentially negative phenomena 1) the impersonal passive lecture system with students "becoming observers in their own education"; and 2) many undergraduate courses being taught by "casually" evaluated temporary lecturers or graduate teaching assistants who are often untrained, unsupervised, and sometimes deficient in English language skills (see Smelser, pp.17-18).*

Alexander Astin, director of UCLA's Higher Education Research Institute, suggests that the tradeoffs which result in such large classes and limited contact with regular faculty may not be worth it. "Unless student growth and development are the essential institutional concerns," Astin argues,

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*This does not mean that all temporary faculty or TA's are poor teachers. Some are quite good. The point is that under the current system the quality of such instruction is in the luck of the draw.

"students will wind up falling through the cracks." Astin blames the UC administration and many members of the faculty for buying into the values of an academic culture where research not teaching is ultimately rewarded (*San Francisco Examiner*, *op. cit.*).

The problem was summed up, at least for UC Berkeley, by Stuart Dreyfus, a professor in the department of industrial engineering. "I'm dubious about Berkeley's undergraduate education," Dreyfus said. "The University pays lip service to teaching being as important as research and it really isn't. When it comes time for promotion and evaluation, if you haven't published a lot of papers, no matter how good a teacher you are, you won't get what you deserve" (*Sacramento Bee*, July 10, 1986).

For all the problems acknowledged, however, the majority of UC faculty are clear about their priorities. An August 1986 report prepared by a former graduate dean for the Berkeley Academic Senate reaffirmed Berkeley's commitment to research as its main goal. "Notwithstanding the heavy and complex responsiblities in undergraduate education .. continuing excellence in research and scholarship remains (Berkeley's) primary objective (see summary in "UC Concern Over Foreign Student's," *San Francisco Chronicle*, August 26, 1986).

The Smelser report points out that in regard to undergraduate education, UC is "faced with multiple and sometimes conflicting missions," and this fact is often not taken into account by educational policy makers (p.51). Simplistic answers are often proposed to the University's dilemma with the result that only a "semi-conscious lowest common denominator compromise" emerges from trying to reconcile conflicting goals (*ibid.*). The University is charged with graduate education, professional training, and research in addition to undergraduate education. The state, in turn, expects undergraduate education to be provided for *large numbers* of students at *reasonable costs*. If all these requirements are to be honored, the Smelser report says, then the University faces a series of constraints that limit what it can and cannot do. All of which brings us to the issue of the "relative priority" of the University's many missions and "how they ought to be arrayed and combined..." (*ibid.*, p.51).

Certainly the research priority is, and probably should remain, paramount for Berkeley and UCLA. The institutions have hired many faculty specifically for the research/graduate training functions, and the two universities are recognized internationally as among the world's best in these areas. San Diego and Davis are also internationally respected, and other campuses claim quite notable departments and individual world-renowned scholars.

The question emerges, however, as to whether the entire system should be wedded solely to the research model to the possible detriment of undergraduate education. Despite individual campus mission and goal statements, the fact remains that with Berkeley as the model, with the extensive use of outside scholarly peer evaluations in promotion proceedings, and with the professionalized departmental structure, the entire UC system is based on "research university" priorities and ideals.*

Policy Options

Option 1: *Establishing priority for undergraduate education in the University of California.*

The options are predicated on the assumption presented in the national reports that the quality of undergraduate education is -- at least in part -- a function of its perceived importance among the research universities' many responsiblities. The question for the Commission is not undergraduate education to the exclusion of research and graduate education, or vice versa, but rather, in the words of the Smelser report, the question of "relative priorities" given the University's "multiple and sometimes conflicting missions" (p.51). Is UC a research institution that teaches, a teaching institution which conducts research, or is it both at the same time (as implied in the absence of assigned priorities in the 1960 Master Plan)?

1a: *Recommend that the Regents adopt policies -- including the reallocation of resources if necessary -- to assure that undergraduate education in the University is at least of equal quality with other University programs in research and graduate education. Further recommend that the Legislature require the Regents to demonstrate that resources are allocated accordingly and appropriately.*

Option 1a places responsiblity for the quality of undergraduate education directly with the Regents. It is intended to promote close regental scrutiny of undergraduate education to assure that its' quality is at least equal to that of the University's reknowned graduate education and research endeavors. Close regental scrutiny might include public debates and hearings, student and faculty testimony, and administrative analysis of program strengths and weaknesses.

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*Take for example, UC Santa Cruz, a campus specifically conceived in the 1960's as an antedote and alternative to the "Berkeley model". Throughout the 60's and most of the 70's, UCSC was known specifically for its experimental college system and its exceptional commitment to undergraduate teaching. But even Santa Cruz ultimately succumbed. In a 1982 interview in *California Higher Education*, the current Chancellor illustrated the power of the research ideal. He lamented the fact that before his chancellorship "a number of people were given tenure here who had not merited it on academic (research) grounds. They were given tenure ... (for) building the colleges ... so the result is that we have a lot of people here ... who are, at least in the academic sense, mediocre." He went on to cite "a lack of clearly defined academic standards" at UCSC and insisted that one set of standards should always apply, and that to his mind "the standard of excellence is Berkeley" (p.8).

The requirement to demonstrate that resources are "allocated accordingly and appropriately" does not necessarily suggest equal allocation of resources. It is intended to assure that regardless of various weighted formulae, sufficient resources are directed to undergraduate education to assure high quality performance.

1b: Recommend that the Regents affirm graduate education and research as the University's top priorities, while acknowledging a major role for the University in the provision of quality undergraduate education. Further recommend that the Legislature require the Regents to demonstrate that resources are allocated accordingly and appropriately.

Option 1b essentially recognizes the status quo while at least emphasizing the importance of undergraduate education. The University currently has a major role in the offering of undergraduate education, but research and graduate education are clearly higher priorities on many campuses.

1c: Recommend that the Regents not establish any priority for undergraduate education in the University system as a whole, but be requested to consider a differentiation of priorities among the various campuses with appropriate organizational and evaluation systems to facilitate such differentiation.

Option 1c, differentiation of priorities, would allow certain UC campuses to establish research and graduate education as top priorities, while others might focus on undergraduate education, or some weighted combination of various functions. UC Riverside in its 1975 Campus Academic Plan, for example, specifically sought to differentiate itself from other UC campuses stating, "preservation of the intellectual breadth of our undergraduate curriculum has higher priority than it would if research and the Ph.D. were the first goal... Given this view of undergraduate education, the attitude of the campus toward other issues is also different. There is more concern by the campus for creating an environment which addresses the needs of the whole undergraduate student ... more concern for close faculty-undergraduate student relations" (p.15). (How well UCR had been able to maintain that differentiation given research pressures in the system we do not know.)

On the other hand, UC Santa Cruz, once known as the most different of the UC campuses and recognized for its commitment to undergraduate teaching, has recently issued a new twenty-year plan which emphasizes that within UC's current framework "the campus must change" (p.1) from being "a small, predominantly liberal arts undergraduate campus to one characterized by a full compliment of undergraduate, graduate, and professional programs" (p.2). The plan emphasizes that involvement with graduate work will increase for from less than 50 percent of the faculty to over 90 percent (p.19). The plan recommends that "as basic policy," academic administrators will seek to expand the organized research of faculty and raise the necessary extramural funding to do so (p.22). As a 10 year goal for UCSC, the plan calls for the campus to "rank among the top 100 research institutions in the nation," and states that "UC Santa Cruz's ultimate goal is to join the ranks of the leading research universities of the nation" (p.23).

Option 2: Establishing the priority for undergraduate education in the California State University.

2a: Recommend that the Trustees affirm undergraduate education as the first priority for the California State University and adopt appropriate organizational, structural, and evaluation systems to assure such priority. Further recommend that the Legislature require the Trustees to demonstrate that resources are allocated accordingly and appropriately.

Option 2a emphasizes undergraduate education as the top priority for CSU and would by inference place a higher priority on teaching over research.

2b: Recommend that the Trustees define undergraduate education and graduate education through the master's degree to be equal priorities for the California State University.

Option 2b is essentially the recommendation made in the 1960 Master Plan where the words "primary function" were followed by "instruction" for both "undergraduate students" and "graduate students." Option 2b would also continue to emphasize teaching over research, but with an equal graduate education mission problems of specialization and professionalization could become more acute.

2c: Recommend that the Trustees not establish a priority for undergraduate education in the California State University system as a whole, but be requested to consider a differentiation of priorities among the various campuses with appropriate organizational and evaluation systems to facilitate such differentiation.

Option 2c, like 1c for the University above, would allow differentiation of priorities by campus. Some campuses might emphasize undergraduate education, some might emphasize graduate education, and some might strike a balance between each.

Option 3: Recommend that, consistent with legislatively established roles, the Board of Trustees of the California State University and the Regents of the University of California publish clearly defined mission statements citing specific goals, objectives, and priorities for the system as a whole and for each of the individual

campuses. Further recommend that, prior to publishing, such statements be formally submitted to CPEC for discussion, clarification, and advice.

Truly descriptive mission statements can help insure that institutional reforms and developments are congruent with underlying institutional purposes and can signal to students and parents what kind of education they can expect from various universities. The problem is that most statements are so broad and so general, that they "promise everything to everybody" and can rarely be distinguished one from another. CSU's current systemwide mission statement, for example, could apply to virtually any good university. UC, on the other hand, does not even have a systemwide mission document.

The submission to CPEC is for public discussion and clarification, not for approval. The assumption is that the state has a direct interest in the specific goals of its publicly supported institutions.

Issue 2: What public policy should the Commission recommend regarding curricular goals, objectives, and evaluation in the University of California, the California State University, and the California Community Colleges?

Background

The national reports focus on several important curricular issues: (1) the need for clearly understood and articulated curricular goals and objectives; (2) the related issue of the role of general education (the liberal arts and sciences) in the curriculum; (3) the need for greater internationalization of the curriculum; and (4) curricular evaluation.

Almost unanimously, the reports argue that clear curricular objectives must be established to meet institutional purposes, and specific courses should then be designed to meet the curricular objectives. The AAC report is particularly adamant that basic changes need to be made to conscientiously match curriculum directly to institutional goals, and that the trustees of an institution ultimately are responsible for assuring mission-curriculum compatibility through their oversight of faculty performance (p.6).

The problem, of course, is that the ever more specialized faculty finds it exceedingly difficult to work together and come to any common agreement on curricular objectives (be they general education, or basic skills requirements, or interdisciplinary studies, or even specific requirements for many majors). Hence broader definitions of what an institution hopes to have a student achieve are left unclear, at precisely the time when the more specialized requirements of the technological order are so easily identified and demand attention. When student demands for "job training" are added, the faculty too often abandon common responsibility for a coherent curriculum (Rudolph, pp.16, 17).

Harvard President, Derek Bok, argues that it is imperative for faculty "to agree on what it hopes to have its students achieve and what sort of curriculum is most appropriate to achieve these ends" (p.58). Bok recognizes that different institutions would have different objectives, but insists that common objectives for each college are essential: "In the absence of periodic discussion and review, a curriculum loses direction and slowly grows formless. No one understands the enterprise as a whole or how one's own efforts relate to those of one's colleagues. Thus, a faculty that has made a considered choice of some common philosophy and some clear set of goals is vastly better off than one that struggles along with no philosophy or goals at all" (p.58).*

As to the role of the liberal arts and sciences** in the curriculum, the critics contend that any underlying rationale for general education has been lost. The universities are so unsure of the purposes of the B.A. degree beyond vocational preparation, that they have become more successful in credentialing than in providing a quality education (Carnegie, p.16). The AAC contends "there is so much confusion as to the mission of the American college and university that it is no longer possible to be sure why a student should take a particular program of courses. Is the curriculum an invitation to philosophic and intellectual growth or a quick exposure to the skills of a particular vocation? Or is it both?" (p.2).

Today there is no set of clearly articulated common expectations of students, no definition of "essential knowledge." An entering student often confronts hundreds of specialized undergraduate courses reflecting departmental concern with offering pre-professional studies related to the discipline, and faculty who advise early and intensive involvement in the major. The major, in turn, is characterized by increasing professionalism and always narrower requirements. At the same time, students are themselves concerned with job requirements so that narrow preparation with its emphasis on job training comes to dominate the campus. As one president quoted in the Carnegie study observes, "its all right to talk about liberal arts goals but we have to face up to what students want today" (p.16). The end result is a threat to the general mission of the university "by tilting it in the direction of vocationalism, specialization, and science at the expense of liberal arts and humanistic learning" (Smelser, p.2).

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*Several states (e.g., Tennessee, New Jersey, Florida) have begun to enact laws that implicitly require the establishment of curricular objectives for public institutions. Some states are considering adoption of language that is quite overt. The Illinois Legislature's Committee on the Study of Undergraduate Education recommends "that each institution should define the objectives of its general education curriculum and expectations for the development of baccalaureate-level skills," and "institutions should establish time frames for students to meet these objectives and expectations" (p.41).

**For the purposes of this paper, the traditional terms "liberal arts and sciences" and "general education" are used somewhat interchangeably. The terms refer to a general, extensive education not necessarily preparing the student for any specific profession. General education is usually defined as that education which the student receives outside of the major, and which students hold in common with other students upon receipt of the B.A. degree. Most general education takes place in the student's first two years. Thus in the Smelser report on lower-division education at UC, the Task Force's discussion of lower division education is essentially a commentary on liberal arts or general education (as the authors acknowledge, p.7).

In response to the general education issue, the NEH, AAC, and Carnegie reports all argue for a core curriculum to be required of all entering students. The AAC report refers to "common expectations and norms," (p.2), while NEH suggests that "faculties must put aside narrow departmentalism and instead work with administrators to shape a challenging curriculum with a core of common studies" (p.3). Carnegie refers to "an integrated core ... that introduces a student to essential knowledge, to connections across the disciplines, and, in the end, to the application of knowledge to life beyond the campus" (p.19).

Both the AAC and NIE reports are adamant that distribution or breadth requirements (as is the current practice in both CSU and UC) are not sufficient. Such requirements are almost always subject to political considerations -- each department protecting its turf and insisting on inclusion, so that the breadth choices are so vast that they become meaningless -- with a resulting increase in fragmentation and politics overwhelming clear learning objectives (NIE, p.44; AAC, p.11). NIE, while not arguing for a core curriculum per se, recommends that institutions require at least two full years of liberal education to allow students sufficient opportunity to integrate their learning experiences (p.41).

In terms of the emerging global society and the need to internationalize our colleges, several of the reports recommend that foreign language competence become a requirement for the baccalaureate degree. The AAC report refers to our current foreign language "incompetence" as a "national embarassment," that "threatens to be an enfeebling disadvantage in the conduct of business and diplomacy" (p.1). NEH recommends that we require foreign language proficiency "and the ability to view language as an avenue into another culture" (p.9). The Bell report said "it would be tragic if America's colleges allowed baccalaureate graduates to be monolingual in a global society ... Study of foreign language and culture should become standard, and over the next 15 years state colleges and universities should ensure that all degree recipients master a language other than their native tongue" (p.36).

Almost all of the national reports devote considerable attention to assessment and evaluation: not assessment of the individual student, but of the programs of the colleges themselves. As Carnegie points out, student progress is closely assessed by each professor for each student for each class; but such assessment really tells us little about the overall quality of undergraduate education (p.17).

The critics argue that assessment of institutional programs should be seen as a means to improve teaching and enhance educational programs, not just as a means of demonstrating academic quality (Bell, p.32) or focusing on individual shortcomings. Derek Bok argues that "universities should consider doing more to measure the impact of their educational programs and to evaluate their methods of instruction. Without assessment of this kind, faculties will never be able to proceed by an enlightened process of trial and error to improve the quality of teaching and learning" (Bok, p.58). Bok goes on to say that "the most vital need is to develop serviceable ways of measuring student progress toward common educational goals. If such methods were established, an institution could use them to compare the effectiveness of different methods of teaching, varying class sizes, or different undergraduate majors" (p.60). Unfortunately, all the critics are agreed that, to date, "college and universities have paid too little attention to the measures appropriate to an assessment of their performance" (AAC, p.14).*

One area that has come under recent close scrutiny in terms of assessment and evaluation is that of the outside regional and specialized accrediting agencies. Regional agencies, which accredit at the institutional level, are criticized for looking at quality in terms of inputs or resources (library holdings, student/faculty ratios, facilities, percentage of faculty with the doctorate, etc.), rather than in terms of student development within the institutions (see NIE, p.69 or the recent Governor's Report on Education). Robert Atwell, President of the American Council on Education laments that "voluntary accreditation -- our most important self regulatory instrument -- is not satisfactorily addressing minimum standards or educational outcomes" (p.17). Specialized or professional accrediting agencies, those that accredit particular programs such as engineering or business, are taken to task for insisting on so many discipline-specific requirements that one loses sight of the fact that the program is only one course of study within a college or university which has a larger educational mission.

Much of the accrediting community has begun to respond to such criticisms. The Council on Postsecondary Accreditation's recent self-study acknowledged that accreditation "falls short of providing the quality assurance that our nation deserves" (COPA, p.1), and recognized a tendency to measure inputs rather than insistance on quality in the teaching/learning process. COPA also agreed that "unfortunately" accreditation by specialized professional agencies was often "self-serving" (p.2).

Issue Elaboration

Within California's universities there has been at least some on-going concern about the curricular issues raised in the national reports. In 1975, UC systemwide Provost Angus Taylor was already calling for a "reexamination of purposes and objectives" that might "include consideration of what common core of goals and values should be shared by all University of California undergraduate programs" (p.1). While Taylor did not think one could ever get agreement on a core curriculum, he asserted that "the important thing is that both students and faculty involved in any particular curriculum know what they are engaged in -- what both the immediate and larger purposes are in the design of the curriculum" (p.8). In 1981, the University of California Planning Statement was still noting the same problems and calling for "a restructuring of lower division curricula to provide for more sequence and coherence in intellectual development" (p.11). In October 1985, the Smelser Task Force was created.

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*Several states have already begun to require "outcome" measures to evaluate institutional programs. Tennessee requires specific analysis of curricular offerings. Other states test students in an attempt to evaluate quality. Two states have even instituted "rising junior" exams that must be passed before students take upper division work (Mingle).

While the Smelser report deals with improving instruction in the lower division, it avoids the issue of specific undergraduate goals. The Task Force notes the traditional responsibilities assigned to general education, but does not itself make recommendations regarding specific objectives. The report does stress the difficulty of bringing specialized faculty to agreement within the multiuniversity. The Task Force also "found evidence of intense discussion, study and reform on every University of California campus" and reported that most of the campuses felt their undergraduate curricula were responsive to the national concerns (pp.5, 47).*

The UCLA student report contends that, for them, "the purpose of an undergraduate education has never been articulated... Students should know when they enter the University what defines an educated person." The students want to know what skills, proficiencies, and knowledge they are supposed to develop "beyond a series of completed courses and units" (p.4). They argue that too many UCLA students are able to graduate from the University without the ability to adequately write, read, speak, and listen critically and effectively (p.9).**

Regarding general education per se, the UC 1974 Academic Plan stated that the "University will continue to offer general education, emphasizing humanistic values and the development of basic analytical skills that will make possible intelligent responses to the unknown questions of the future rather than narrow vocational training based on short-term views of manpower" (p.6). The 1981 University of California Planning Statement reiterated that the "University is committed to broad general education as an integral part of all undergraduate education" and affirmed the intention to provide "education emphasizing humanistic values and intellectual breadth" (p.14). The Universitywide Academic Senate was also instructed to review "the undergraduate curriculum for the purpose of ensuring that proper importance is given to general and humanistic education, including sequence and coherence in intellectual development, critical reasoning, and expression" (p.17).

In 1987, however, general education at UC is -- at least to some observers -- somewhat in disarray. The Smelser report not only terms lower-division education a "neglected child" (p.1), but cites expanded major requirements shutting off opportunity for broader experience (p.36), notes the loss of humanities learning and the isolation of the disciplines from the "grand ideas," (p.34), and describes a chaotic "hit or miss" approach to general education making it "impossible for many lower-division students to work even a sembalance of intellectual coherency into their academic program (p.10).

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*UC Davis, for example, has just established a special joint senate/administrative committee that will be developing an explicit statement on what students are expected to achieve in the course of their education at Davis. (Letter from committee member Chris Nelson, December 4, 1986.)

**A quite recent report from the Berkeley students, "ASUC Response to the Academic Senate 1985-1990 Draft Five-Year Academic Plan" (Draft), also calls upon faculty to clarify "the purposes of an undergraduate education, and the meaning of an undergraduate degree from Berkeley" (see Summary of ecommendations, p.2).

The UCLA student report describes a breadth requirement system "so broad and flexible that it cannot insure an education firmly grounded in the subjects at the heart of liberal education." The students argue that administrators and faculty are more concerned with the impact of enrollment on departmental budgets "than they are with the development of a cohesive and meaningful liberal arts curriculum" (p.9). Most importantly, perhaps, the report says that students have come to see general education requirements as something merely "to be gotten out of the way," with students then graduating "with only limited understanding of the humanities, other disciplines, and interdisciplinary connections" (p.3).

As to CSU's general education or liberal arts and sciences curriculum, the "Academic Senate Self-Study of Undergraduate Education" found that the analyses in the national reports' were "true enough to merit serious response." The Self-Study noted that while CSU's general studies program was designed to give students an integrated approach to the liberal arts, "a review of campus practices reveals that a majority of our students are faced with such a bewildering variety of choices in their general education curricula that they are hard pressed to discover a coherent pattern and, in most cases, invited to neglect breadth in their general education."

The CSU Self-Study discussed the expansion of specialized requirements for the majors resulting in little time for students to experience broader education. "Indeed," the Self-Study stated, "when we think of the baccalaureate degree we tend to think of the academic major, not the whole range of undergraduate study." The authors went on to "question the wisdom of this prevailing view." The study said that the arts and humanities were the most undervalued and vulnerable areas in the undergraduate curriculum, and that serious attention was required "to reverse the trend away from providing our students with a common body of experiences regarding our cultural legacies." (Curriculum Sub-Committee report). The report stressed the importance of "campus missions in setting parameters for program offerings" and hoped that "greater adherence to operational campus missions and goals may in fact come to characterize curricular planning in the CSU (attachment II).

Within the CSU system, President Donald Gerth of the Sacramento campus has written: "The 'formal curricular goal' is the University's public measure of what an undergraduate student should have accomplished in earning a bachelor's degree." Gerth notes that current formal goals are primarily based on units passed (except for writing proficiency) and asks "Should we present our formal curricular goals more in terms of the knowledge and skills the candidate for a bachelor's degree should acquire?" (Gerth memo, p.2). In another context, Gerth commented on encountering a student who had no idea why she should take general studies and then making a note to himself: "We need to educate our students about higher education and its purposes. We may need to attempt to educate the broader community massively" (Gerth, Fall Address to Faculty, 1985).

As to a core curriculum, the original charge to UC's Lower Division Task Force asked whether "there should be a common lower division curriculum for the University as a whole? For each campus?" (Smelser, p.42). However, the Task Force did not directly address the question. The report recommends adoption of a "selective common core of general education courses" for transfer to the University from other systems (the Transfer Core Curriculum recommendation in The Challenge of Change), or reciprocity among the campuses (presumably should a campus develop such a core independently). But this is not the same as saying UC should have a core, and no such recommendation is forthcoming. However, the text leads one to conclude that given the fragmentation and specialization within the University, the Task Force felt that a common core would be too difficult to agree upon and implement.

The UCLA students were quite strong in their insistence that a core curriculum required of all students be developed (pp.4, 14-17).* They discussed the need for a "common language," and "shared educational experience" (p.16) and a general education curriculum that had some "philosophical justification" (p.15). The students, in common with the NIE and AAC reports, felt that simple breadth requirements were not the answer. They pointed out that in the humanities, students could meet breadth requirements by taking just two of over 150 course choices. Thus, said the students, one could fulfill one's total humanities' obligation by taking a Survey of Medieval Greek Culture and the Development of Jazz. The CSU undergraduate self-study did not speak to the issue of a core curriculum.

Regarding NIE's recommendation of two full years of liberal arts instruction, the Smelser report clearly calls for more breadth, but stops short of recommending two years of general studies. The report specifically notes the NIE recommendation, but refers to cost considerations, the problems of specialized majors with so many requirements, and the fact that such a recommendation would mean that "selected undergraduate professional programs should be transformed into five-year baccalaureate programs or into master's degree programs" (pp.36-37).

The CSU study also recognizes the problem and recommends that "all baccalaureate degree programs be encouraged to reduce the number of required courses in the major to provide room for general electives (Subcommittee on Missions and Goals). Similarly, the Curricular Subcommittee urged that "careful consideration be given" to limiting the number of units which may be taken in a major at CSU. The curriculum group also noted the pressures for major requirements coming from the specialized accrediting agencies, and said that if the need for general education "necessitates the development of five-year baccalaureate programs in some fields, then so be it."

While the Smelser report dealt with internationalization specifically, it made no recommendations regarding language requirements per se. A recent CSU Commission on the Pacific Rim**, however, is quite specific: "The CSU should add language competency as a graduation requirement. And all CSU campuses should offer one or more Asian languages and find ways to encourage more students to learn these languages" (p.10). Similarly, the UCLA student report calls for "mandatory" foreign language instruction and contends that: "Students should know how to write, read, and converse in at least one language other than English before leaving the university."

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*The recent Berkeley student report, "ASUC Response to the Academic Senate ..." cited above, also laments "premature specialization" and calls for the establishment of a common core curriculum (see Summary of Recommendations, p.2).

**The Commission was formed to assist the CSU in its own process of internationalization, particularly in light of California's key location within the emerging Pacific Rim power sphere. The Commission makes numerous recommendations for expansion of the curriculum, language and culture, and the creation of international centers.

Finally, in regard to evaluation, the Smelser report states that traditionally little attention is given to general education as an entity, and that within UC "there are few mechanisms in place for systematic review." Faculty evaluate other programs, but there are "no similar efforts made at either the systemwide or campus levels to assess the lower division experience..." (p.11). The Task Force lists among its recommendations that UC "should develop mechanisms for periodic and systematic review of the quality of lower division education" (p.4). The UCLA students also call for more assessment and evaluation, requesting "value-added" testing to measure and improve the effectiveness of the curriculum (p.20).

The CSU Undergraduate Self-Study Subcommittee on Curriculum stated that "baccalaureate programs must be subjected to a wider and more acute scrutiny than presently is exercised ... A necessary part of this critical function is the evaluation of any program as to how successfully it complements the entire baccalaureate experience." And the Subcommittee on Learning concluded that CSU must do more "to assess the effectiveness of our programs by assessing what students learn." The Subcommittee on Governance and Academic Freedom expressed its concern about specialized accrediting agencies and their "substantial interference with campus qualitative decisions about undergraduate curriculum."

Policy Options

Option 1: Recommend that the governing boards of the University, the State University, and the Community Colleges in consonance with their public trust accept full responsibility for undergraduate education, more forcefully exercising their oversight authority as to the character and quality of the undergraduate curriculum.

AAC states that it is time for governing boards to pay more attention to institutional curriculum development. They acknowledge that by tradition, boards have spent their time on the material interests of the colleges and universities and that academic issues either have become "peripheral or off limits." Yet AAC argues that the boards ultimately "hold in trust... the destiny of higher education in the United States." They contend that the boards must begin to "ask searching questions about whether academic programs are of high quality and consonant with their institutional mission. A board that fails to provide itself with frequent and thorough review of key curricular issues is neglecting its duties, for one of those duties is to make sure the faculties do not neglect theirs" (p.6).

Option 2: Recommend that the Regents of the University of California, and/or the Board of Trustees of the California State University, and/or the Board of Governors of the California Community Colleges adopt policies to assure that each campus of the respective systems establish clear curricular objectives and then match curriculum development to these objectives. Further recommend that the governing boards also adopt policies requiring systematic institutional evaluation of curricular and program offerings.

Under this option, campuses would be able to differentiate curricular objectives according to their own history, context, and particular missions. It would be assumed that the objectives would be publicly communicated and that students would be shown clear procedures and processes by which the objectives could be met. Such a recommendation would also assure that campuses adopt practices to regularly evaluate programs such as general education, skills development sequences (e.g., writing, computer literacy, mathematics), and the majors (already evaluated to some degree).

There are difficulties with the option. The entire process would entail substantial time commitments, difficulty for faculty and administrators to reach agreement, and could initially be quite divisive on several campuses.

Evaluation would be particularly difficult. There is not enough known about how to evaluate. The tendency is to simply rely on the mechanical testing of students. Ernest Boyer, President of the Carnegie Foundation for the Advancement of Teaching, fears that assessment, relying solely on testing, is "a search for simplistic answers to complicated problems" (address to ACE, p.4). Tests focus excessively on mere recall and "measure that which matters least" (p.14). Boyer points out that the only way that program assessment can work is if it focuses on student integration and creativity rather than recall. Boyer also argues that program assessment is meaningless unless there is prior development of specific college-wide objectives and some "shared vision of what the institution is trying collectively to accomplish" (p.16).

Option 3: Recommend that the Regents of the University of California and the Board of Trustees of the California State University affirm general education as a central part of the undergraduate mission of the state's universities. Further recommend that the governing boards adopt policies to facilitate any or all of the following as part(s) of the general education curriculum:

3.1 A common core curriculum of general education offerings;

3.2 Two full years of general education;

3.3 Expansion of programs and curriculum regarding international and multicultural education with explicit inclusion of international and multicultural goals in institutional mission statements;

3.4 Foreign language competency for all baccalaureate recipients by the year 2000.

(3) - Virtually all of the national reports argue that general education should remain at the heart of the baccalaureate experience. General education, it is argued, is imperative to the society's maintenance of shared values, civic responsiblity, and some sort of an expression of common culture. Some critics argue that education is essentially either tradition or technique and that technique in the specialized and professional university has become too dominant.

Others, however, point out that the explosion of knowledge, resultant specialization, and the universities' opening up to very diverse groups now makes any sort of common general education almost impossible. No one agrees any longer as to what it is or what it should include. Scholars such as UC historian William Bouwsma point out that the current decline of general education "reflects the inability of heterogeneous communities of scholars, serving huge, complex, and diverse constituencies to achieve any agreement at all" (Bouwsma, p.8). Still others argue, that the nature of the technological society increasingly demands ever earlier specialization and intensive preparation for the career field.

The question, then, is what does the baccalureate degree signify and what kind of students do we want to see graduating in the year 2000. Does the degree imply a broad, general background and widely applicable, transferable intellectual skills, or does it simply imply "job trained," ready for immediate employment? Has knowledge and the labor market become so fragmented that it is no longer possible to educate generalists who can adapt to a variety of career situations and choices? Given the exigencies of the technological order, can we afford the time it takes to develop breadth and common educational experiences? Is there any common definition of a college-educated person? Should the universities be expected to surmount their internal divisions to facilitate a general education mission?

(3.1) - The common core curriculum would not necessarily have to be lock-step. Certainly flexibility could be left for student choice in selecting among prescribed courses and the core could be implemented differently by the individual campuses given their own unique characteristics, foci, and faculty strengths.

The development of a common core would, however, be very time-consuming for faculty and could be quite divisive. A common core would also seriously impinge on many of the undergraduate professional majors (e.g., engineering, business) which currently require almost all of the students' time and attention. Certain majors would probably be required to add a year of study to become five-year programs, or divide into b.a. and master's degree programs.

(3.2) - The proposal for two full years of general education is one of the National Institute of Education's primary recommendations to assure breadth, coherence, development of basic skills, and the ability to transfer skills across disciplines and beyond the academic field. Again, such a recommendation would present great difficulties for the very technical or undergraduate professional majors. It would also mean greater faculty commitment to general education, perhaps at the expense of certain major offerings.

(3.3) - The international, multicultural education recommendation would be directed toward the emerging global society and economy, and would take cognizance of the exceptional diversity already extant within California. Implementation, however, would almost assure that resources and time allocations would have to be shifted from other priorities.

Several of the national reports argued it was increasingly imperative to prepare students in international education. The Bell report specifically recommends the use of the mission statement to help frame "a campus world outlook." The Bell Commission argued that "a well conceived mission statement provides a particularly strong incentive to implement international programs in various professional fields, as well as in the liberal arts" (p.35). The CSU has already incorporated "to prepare students for an international, multi-cultural society" into its mission statement. The Smelser report, noting the "pervasive and profound" process of internationalization and the increasing diversification and heterogeneity within California, recommended that the University give "special stress to the twin themes of internationalization and diversification in its educational mission" (pp.30-31).

(3.4) - The time frame suggested for foreign language competency (not necessarily in terms of courses taken) is essentially that of the Bell report and allows ample time for planning and implementation. The requirement might be quite time-consuming for students and would not, at least at the present, match with the perceived vocational needs of many students. The requirement for competency would directly affect primary and secondary school curricula by encouraging early language training for all students who might consider a college education.

Option 4: Recommend that the Chief Executive Officers of the campuses of the University of California, the California State University, and the California Community Colleges use their influence as board members of various accrediting agencies to:

a) convince the regional accrediting agencies to take more cognizance of student "outcomes" in evaluating institutions, holding colleges and universities accountable for clear expectations for student learning and appropriate assessment programs to determine whether the expectations are being met;

b) convince the specialized accrediting agencies to respect the larger institutional missions and purposes of undergraduate colleges and the integrity of the general education curriculum, guarding against over specialization and excessive major requirements.

The state and its colleges and universities have no direct influence over the policies of the voluntary accrediting agencies except as various officials serve on the boards of the accrediting commissions. However, California institutions carry a great deal of influence with the accrediting agencies and concentrated efforts could very well influence accrediting policies.

Issue 3: What public policy should the Commission recommend regarding incentives for undergraduate teaching within California's public segments of higher education?

Background

In the Introduction and part I, above, the national concerns regarding teaching in the undergraduate colleges were cited. Criticisms focused on the lack of training of Ph.D.'s to teach, the narrow disciplinary foci of many professors, and, most importantly, a general lack of incentives for undergraduate teaching. It was noted that every one of the national reports was adamant in calling for modifications of the reward structure and institutionalization of incentives for quality teaching.

Apart from the issue of faculty priorities in regard to teaching, another major problem is the nature of the "learning system" itself. Most of higher education still relies on the lecture system to feed students predigested information which is assumed to constitute knowledge. Many students come to perceive higher education as the passive reception of that knowledge. They look to the faculty to provide thought. Thus, it is not always easy to redirect students toward critical thought and analysis. The lecture system merely reinforces the passive reception model and continues the high school mode which suggests that the truth is always known and that the object of education is to pick out the proper answer and memorize it. Hence the phenomena which the UCLA students called "becoming passive observers in one's own education."

Educational research is quite conclusive that active involvement in learning is one of the key factors for intellectual growth and the development of critical analytical abilities (hence the title of NIE's report, Involvement In Learning, which focuses extensively on the involvement process). Yet, the Carnegie report lamented that the nation is plagued by student passivity, that there is a lack of vigorous intellectual exchange in college classrooms, and that the faculty -- constantly complaining about student passivity -- are unaware that it is a "condition for which faculty as often as students bear responsiblity" (p.16). In another context, Carnegie Foundation President Boyer, wryly observed that in the medieval university "instruction was entirely by lecture, with students dropping coins in a pouch to gain admission. This tradition is difficult to alter" (Boyer to Prater).

K. Patricia Cross of Harvard is an expert on learning systems and the lecture method. Cross notes that faculty still primarily regard themselves as information disseminators. With so much information now available, Cross contends that via the lecture system, students are in danger of "drowning in information... Many of their bone-weary teachers teach as they were taught. There is nothing in their preparation and training to break the cycle of teaching as telling. All too often, information flows from the notes of the professor into the notebooks of students without passing through the minds of either." Cross also points out that even when information transmittal is the object of a class, the lecture system is still not a very efficient means of learning. Cross refers to studies which show:

> Teachers in the average classroom spend about 80 percent of their time lecturing to students, who, in turn, attend to what is being said only about half the time... the curve for forgetting course content is fairly steep: a generous estimate is that students forget 50 percent of the content within a few months. A more devastating finding comes from a study that concluded that even under the most favorable conditions, "students carry away in their heads and in their notebooks not more than 42 percent of the lecture content... These results were bad enough, but when students were tested a week later, without the use of their notes, they could recall only 17 percent of the lecture material. (AAHE Bulletin, September 1986, pp.11-13).

Cross concluded there must be a better way, and that it was through active learning and greater interchange between faculty and students. But, she argued, such changes would be impossible without greatly altering the incentive structure. The national reports came to the same conclusion and offered several suggestions: sabbaticals for teachers, major grants to faculty for learning improvements, support and reward for educational research, and Distinguished Teaching Professorships "extending special status and salary incentives to those professors who are outstandingly effective in the classroom" (Carnegie, p.20).

Issue Elaboration

UC's 1981 Planning Statement noted the need to increase faculty incentives "for devoting time to undergraduate instruction" and declared "attention to undergraduate education as a major component of the teaching responsibilities of the faculty, including the senior faculty, will be built into departmental policies, practices and expectations about the way faculty time is used" (p.17, 18). Under a section on teaching, the Planning Statement even cautiously proposed a differentiated reward structure "balancing where the case requires, heavier commitments and responsibilities in one area against lighter commitments and responsiblities in another ... cases will arise in which the proper work of faculty members departs markedly from established academic patterns. In such cases the review committees must take exceptional care to apply the criteria with sufficient flexibility" (pp.12-13).* However, by 1986, UC faculty were spending less time teaching each year, and the Smelser report would refer to "the inadequacy of incentives and rewards for good undergraduate teaching" (p.48).

Although it noted the lack of incentives, the Smelser report did not make recommendations for improving the reward structure. Under the heading "Improving the Quality of Teaching," the Task Force recommended only that:

- Departments of colleges and schools assign their most brilliant and effective teaching faculty, regardless of title and rank, to large, introductory lower division courses.
- Faculty evaluation should be improved, making internal peer review more systematic, and including teaching effectiveness on the agendas of external reviewing bodies.
- Mechanisms should be developed for the more systematic selection, review, and evaluation of temporary faculty, and for their better incorporation into the educational life of the campus.
- Teaching assistants whose native language is not English should be required to pass the oral TOEFL examination.
- Campuses should review and improve mechanisms for the training, supervision, and evaluation of teaching assistants, especially at the departmental level. (p.3)

The UCLA student report stated flatly that "we firmly believe that the university reward structure must give equal importance and emphasis to both teaching and research. The time has come for the university to strictly follow its own personnel manual which stresses that teaching, scholarly research, and university service, shall be weighted equally in terms of advancement, promotion, and retention... Until quality teaching becomes truly rewarded at the University (with tenure, advancement, etc.) coequally with research publications, professors will continue to neglect their teaching responsibilities" (p.7).

The UCLA students also discussed the lecture system. They complained of being "subjected to large courses and treated impersonally" and of a lack of "meaningful interaction with faculty" (p.6). They contended that lower division students were "generally enrolled in three or four classes averaging close to 300 students each" (p.6). They talked of the acute "sense of alienation" so many students felt without any real faculty-student contact (p.21).

The CSU undergraduate self-study's Subcommittee report on Governance and Academic Freedom noted an "overemphasis on narrowly-defined 'research' in personal decisions (such as retention, tenure, and promotion)," and stated it was a concensus in faculty discussion groups that "there has been a substantial shift in recent years in RTP from emphasis on teaching to emphasis on research and grantsmanship" (see Subcommittee Report, item 2).

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*However, the statement was careful to qualify its remarks: "superior intellectual attainment...both in teaching and research...is an indispensable qualification for...promotion to tenure decisions" (p.13).

The self-study also proposed "release-time" for "faculty scholars addressing problems of teaching and learning" (Study Group on Instruction), and teaching workshops and orientations for recent doctoral recipients who were new to college teaching (Subcommittee on Faculty).

Policy Options

Option 1: Recommend that the Regents of the University of California as part of their public trust accept responsibility for the quality of instruction within the University and adopt appropriate policies and procedures that will assure that teaching truly is counted equally with research in evaluations of faculty for retention, promotion, and tenure.

Such a policy recommendation may be necessary to signal to the University that undergraduate teaching must be taken more seriously. If, as many have argued, the internal dynamics and faculty pressures within the research university militate against equal reward for teaching, then asking the board to take direct responsibility for the quality of instruction may be the only way to get at the problem.

There are several difficulties with this recommendation, however, if the value systems of the institutions remain essentially unchanged. First, it is difficult to establish policy that will insure that review committees -- meeting in closed session -- really count teaching equally. It is easy for review committees to manage the process, acknowledging good teaching, but then simply finding the research to be inadequate to justify retention.

Second, research universities rely to a large extent on outside peer reviews from scholars from other universities in the evaluation of faculty for promotion and tenure. Outside peer reviews reflect the values of the outside reviewer (also from research university value systems) and traditionally focus almost exclusively on research. While the Smelser report alludes to the problem and suggests that teaching be looked at by external reviewers, it is difficult to have someone at Harvard, for example, evaluate UC teaching out of context, and even more difficult to expect the reviewer to put aside his or her research biases in doing so.

Third, many faculty were hired in UC specifically for their research skills and would feel victimized to suddenly be held equally accountable for teaching (however, specific exceptions could be made for such faculty). Finally, actual procedures and criteria for evaluating effective teaching are still unclear and subject to heated debate.

Option 2: Recommend that the Board of Trustees of the California State University as part of their public trust accept responsiblity for the quality of instruction within the State University and adopt appropriate policies and procedures that will assure that teaching is given the greatest weight in the evaluation of faculty for retention, promotion, and tenure.

The recommendation to assure that teaching is given the greatest weight in evaluation would follow those recommendations made in the recent CSU self-study on undergraduate education and would match the assumptions and priorities set out in the 1960 Master Plan. The recommendation would conflict, however, with trends on certain of the CSU campuses toward greater utilization of research and scholarly criteria in promotion and tenure decisions.

Option 3: Recommend that the Board of Trustees of the California State University and/or the Regents of the University of California adopt policies to encourage and allow a differentiation of faculty roles (teaching, research, graduate education) among the systems' faculty. Further recommend that the governing boards make appropriate personnel policy and organizational and structural changes to facilitate a differentiation of faculty roles with comparable rewards for predominantly "research" and "teaching" faculty.

The institutions have varying and often conflicting missions, roles, objectives, and priorities. It could be argued, then, that the institutions would be well-served to encourage differing emphases among faculty to assure that all of the institution's missions and objectives are fulfilled and that institutional priorities -- not just faculty and disciplinary priorities -- are taken into account in the reward system. Institutions could view the professoriate as a multifaceted profession allowing for various career paths and greater heterogeneity among the faculty. Certain faculty might emphasize teaching, others graduate education and basic research, still others research into the teaching/learning process, with many taking on some combination of functions. The different talents and gifts of differing personalities could be utilized much more readily.

One of the major difficulties would be the bureaucracy entailed in designing plans (contracts?) for each faculty member in relation to institutional needs. The personnel process would be cumbersome and more time-consuming. Faculty unionization could be a significant problem as an institution tried to hold faculty accountable for differing standards and tasks.

Option 4: Recommend that the Regents of the University of California, the Board of Trustees of the California State University, and/or the Board of Governors of the California Community Colleges adopt policies to assure that new faculty as well as teaching assistants are trained in teaching skills prior to entry into the classroom.

The recommendation is essentially in line with the recommendations made by the CSU self-study Subcommittee on Faculty which suggested orientations and workshops for new Ph.D.'s. Training should include various knowledge about the teaching/learning process, program or departmental expectations, general responsibilities, advising, grading, etc. Some departments at certain of the campuses already require such "training," but as one of the national reports observed, college teaching generally is just about the only profession in the United States that requires no necessary preparation on the part of the practitioner.

Option 5: *Recommend that the Regents of the University of California, the Board of Trustess of the California State University, and/or the Board of Governors of the California Community Colleges establish appropriate incentives for teaching in addition to evaluation for retention, promotion, and tenure. In establishing such incentives the governing boards should include consideration of, but not be limited to, the following*:

a) Distinguished Teacher Professorships;
b) Teaching Sabbaticals;
c) Paid leaves of absence to improve undergraduate teaching;
d) Special grants or monetary awards in recognition of teaching improvements.

As the NIE report stated, current incentives such as "teacher of the year" awards, just do not "cut to the heart" of the issue (p.59). In fact, the UCLA student report cited the case of a young assistant professor who specifically requested that the Academic Senate Teaching Committee "not select him for the Distinguished Teaching Award because he feared it would be detrimental to his opportunity for tenure" (p.12). Most of the national reports argue for the creation of much stronger incentive programs to help establish undergraduate teaching as a clear priority for many faculty, and to enable faculty to risk experimentation and new approaches to the teaching/learning process.

(1) The Distinguished Teaching Professorships recommended by Carnegie and AAC would be similar to current research Professorships or endowed chairs offered to well-known scholars. (2) Sabbaticals are currently offered in the universities for further research exploration of the faculty member's specialty, and in UC are granted only on approval of a research plan. Teaching sabbaticals would allow skilled teachers to periodically renew and refresh themselves in the area(s) of their teaching concentration(s). (3) Paid leaves would enable respected teachers to develop new approaches to curriculum issues. (4) Sizable *post facto* grants or monetary awards could encourage many faculty to risk experimentation and new ways of interacting with students.

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ISSUE PAPER NO. 12*

STATE-SUPPORTED NONCREDIT INSTRUCTION IN THE COMMUNITY COLLEGES: EVOLUTION OF THE CURRENT PROGRAMS; DELINEATION OF FUNCTION; AND FUNDING.

Introduction

Many Community Colleges offer a large number of noncredit as well as credit classes. Some of these classes are state supported and some, classified as community service classes, are fully fee supported.

In The Challenge of Change, the Commission acknowledged the importance of fee-supported community service offerings in the colleges, including "avocational, recreational, and professional inservice classes, as well as community development and cultural activities". The Commission expressed its support for these offerings as "an authorized function of the colleges for the purpose of providing programs that respond to the interests of the community, so long as such programs are fully fee-supported and do not detract from the colleges' primary functions."

This paper focuses on the noncredit instruction in the Community Colleges that continues to be state supported. At present, there are ten categories of such instruction. They are: English as a Second Language (ESL), citizenship for immigrants, elementary and secondary skills, vocational programs, classes for "older adults", health and safety classes, parenting, classes for "handicapped" students, citizenship classes, and home economics. Officially, such classes in the Community Colleges are defined as:

> ...offerings designed to meet the special needs and capabilities to those students who do not desire or need to obtain unit credit. These courses provide remedial, developmental, occupational and other general educational opportunities (Program and Course Approval and Reporting Porcedures Handbook).

State-supported noncredit classes of this type may also be offered by the public schools in adult schools and by Regional Occupation Centers and Programs (ROCPs). In the public schools, these classes are labeled "adult education", and that term often is used in reference to state-supported noncredit instruction in the Community Colleges, as well. It is misleading to do so, however, as all Community College instruction is adult education.

With respect to state-supported noncredit instruction in the Community Colleges, the Commission observed that:

> Adult literacy training and basic skills education are expected to join English as a Second Language and remediation as the most difficult challenges facing California education in the next fifteen years. The responsibility for noncredit adult education services should continue to be shared between the public schools and the Community Colleges, but changes are needed to ensure that the needs of local communities are effectively and efficiently met. There is disagreement about which courses should receive state support and which should

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> be fee-based, and there is historical confusion over which courses should be offered by the public schools and which by the Community Colleges. These conflicts are further complicated by the differing amounts of money the state pays each segment for providing these courses.

It went on to recommend:

> That the California Postsecondary Education Commission, in consultation with the Board of Governors and the State Board of Education, conduct a study of the current and projected need for and funding of noncredit adult education, including the ten state funded areas, in the Community Colleges and public school system adult schools, in light of the state's changing demographics. (26)
>
> That the Legislature strenghthen the current statues by mandating local delineation of function agreements. The agreements should be reviewed and approved by the Board of Governors and the State Board of Education. Sanctions for noncompliance should be established in order to ensure cooperation between public schools and the Community Colleges. (Such sanctions could include the Board of Governors and the State Board of Education each selecting one representative, and these two selecting a third person, to draft delineation of function agreements for any districts that are not able to reach agreement. An additional sanction could include the Board of Governors and the State Board of Education jointly agreeing not to release any funds for noncredit adult education in a particular region, pending signing and filing of the delineation of function agreement.) (27)

The fee-supported noncredit instruction policy is clear and effective. However, the current situation regarding the delineation of functions in the provsion of the ten categories of state-funded noncredit instruction represents a political compromise that is less than satisfactory. The present structure is overlapping, fragmented, and creates inequities among providers and recipients. There is no compelling policy rationale for particular segments offering the array of courses that they do. The concept of institutional specialization has not informed past discussion of state-supported noncredit education, and too little is known about the present configuration of programs and courses.

Although the Commission sought to deal with these problems in The Challenge of Change, it has been asked by the Joint Committee on the Master Plan to take a second look at the matter to determine whether further (or alternative) recommendations might be developed.

Issue: What public policy should the Commission recommend regarding state-supported noncredit instruction in the Community Colleges?

Background

Current state policy defines state-supported noncredit instruction in the Community Colleges and state-supported adult education in the public schools according to the ten categories identified in the Education Code. These ten categories are:

1. Parenting, including cooperative preschool, classes in child growth and development and parent-child relationships, and classes in parenting.
2. Elementary and secondary basic skills and other courses and classes such as remedial academic courses or classes in reading, mathematics, and language arts.
3. English as a second language.
4. Citizenship for immigrants.
5. Education programs for substantially handicapped persons.
6. Short-term vocational programs for high employment potential.
7. Education programs for older adults.
8. Education programs in home economics.
9. Health and safety education.
10. Programs for apprentices.

Presently, state apportionments support noncredit instruction in these ten categories in the Community Colleges, the adult schools operated by public school districts, and Regional Occupation Centers and Programs. State expenditures in 1984-85 for public school adult education, including state operations and local support, were nearly $190 million. For the same year, state expenditures for noncredit Community College courses were nearly $90 million.

Over half of the Community College districts offer noncredit instruction. A survey of the 106 Community Colleges reported that 70 offered state-supported noncredit courses in 1983-84. The colleges provided 6,743 such courses in the spring 1984 term, which accounted for thirteen percent of all Community College enrollment (CCC, 1985).

Fifteen Community College districts, including San Francisco, San Diego, Rancho Santiago, and North Orange, are the sole providers of state supported noncredit instruction in their districts, and these account for nearly two-thirds of all noncredit enrollment in the state. In Los Angeles, however, by far the largest district in terms of enrollment, all such instruction is provided by the Los Angeles Unified School District.

The public schools enroll nearly five times as many adults in their state-supported noncredit programs as do the Community Colleges, but the percentages of enrollments within the ten areas are roughly similar in each segment (see Appendix A). ESL, basic skills, and vocational programs accounted for 68 percent of enrollments in the adult schools and 59 percent in the Community Colleges. The Education Code gives the public schools primary responsibility for ESL and adult basic skills, but these courses may be offered by the Community College if permitted by a local delineation of function agreement. Since the Education Code assigns 13th and 14th grade level offerings to the Community Colleges, courses taught at those levels do not require agreements with the public schools.

Evolution of State-Supported Noncredit Education

Initially, noncredit "adult" education was a responsibility of the public schools and was offered through their adult schools. As the Community Colleges became separate entities and their enrollment continued to grow rapidly through the 1960's, however, conflict between the colleges and the secondary schools over noncredit instruction began to intensify. The public school districts that maintained Community Colleges found it profitable to transfer state-supported noncredit education classes to the colleges in order to receive a higher rate of support from the state. At the same time, independent Community College districts began to offer classes that duplicated those available in the public schools in their areas.

The Legislature first expressed its concern with this competition in 1966 in ACR 32. The resolution requested the State Superintendent of Public Instruction to curtail transfers of state-supported noncredit education proposed solely for administrative or fiscal benefits, and expressed the need for firmer delineation of function among the schools and colleges. Area Adult Continuing Education Coordinating Councils were created in 1972 to write delineation of function agreements between the Community Colleges and the secondary school districts. A few years later, this function was assumed by Regional Adult Vocational Education Councils (RAVEC's), but neither of these efforts were successful.

Legislation enacted in 1973 reduced local tax support for noncredit instruction for both the Community Colleges and the public schools, while increasing state aid. The legislation also allowed state funds for adult education in the public schools to be used for K-12 programs. In the same year, the state became responsible for fully funding increases in Community College enrollment. These incentives generated tremendous growth in both segments, forcing the state to place a 5 percent cap on enrollment growth in 1975. In a further attempt to reduce the incentive for growth the following year, SB 1641 established separate revenue limits for each district providing state-supported noncredit education. The bill also restricted the use of state support to those programs for which it was appropriated but broadened the definition of an eligible student to include older adults and handicapped students.

Following the passage of Proposition 13 in 1978, state funding for "adult" education in the public school districts was limited to eight areas: elementary and secondary basic skills, English as a second language, citizenship, programs for older adults, programs for the substantially handicapped, parenting, apprenticeships, and vocational training with high employment potential. These areas were chosen through a hurried and clamorous budget debate among competing institutional and professional interests, rather than as a result of a comprehensive needs assessment for the state. With the change in funding, many public school districts opted to severely curtail adult school classes in areas not receiving state support, and enrollments declined by a third in the following year, a loss from which the adult schools have never recovered.

In 1979, AB 8 imposed a 2.5 percent annual growth cap and a 6 percent annual cost of living increase on the adult schools, essentially locking the programs where they were. The Community Colleges, however, continued to be funded at a single average rate for both credit and noncredit instruction, a rate which was higher than the costs of many noncredit programs and higher than the rate for adult schools. Moreover, there were no growth limits for the colleges. These changes increased the incentives for growth in the state-supported noncredit education programs of the colleges, accelerating the transfer of these classes from the adult schools.

In the 1980-81 Analysis of the Budget, the Legislative Analyst reported that the pre-Proposition 13 structure for delineation of functions among providers of "adult" education was no longer effective given post-Proposition 13 legislation, and that the adult schools were funded for fewer programs and at a lower level than the Community Colleges. In response to the Analyst's report, supplemental language to the Budget Act of 1980 established the Adult Education Policy Commission (Behr Commission) to "prepare policy recommendations on delineation of functions and review revenue and expenditure equalization for adult education."

In that Commission's hearings, representatives of the Community Colleges argued that as as result of being funded at a single average rate for credit and noncredit enrollment, credit courses were underfunded and the colleges needed the difference between revenues and costs of the noncredit classes to help support credit offerings. The fiscal inseparability of state-supported noncredit education from the rest of the Community Colleges' programs was offered as a justification for making the colleges the sole providers of such education. The adult school representatives replied that the funding of Community College noncredit courses at a rate higher than their costs aggravated the inequities, and that the lower costs of programs in the adult schools argued in favor of resolving delineation of function disputes in their favor.

The Commission, chaired by State Senator Peter Behr, determined that it would be inapproapriate and wasteful to make changes that would disrupt, weaken, or close programs which served local needs in an effective manner. The Commission maintained that locally elected officials were best qualified to determine the mix of state-supported noncredit education programs. The Commission's Report, issued in 1981, also concluded that the Legislature's attempts at fiscal savings by restricting the programs and funding of the adult schools were ineffective because of the incentives created to shift those programs to the Community Colleges. The Commission endorsed funding equity between the segments so that decisions as to which segment should provide a given service would be more likely to reflect educational criteria rather than fiscal incentives. To achieve equity, the Behr Commission recommended that:

Programs in the ten areas designated in AB 2196 (1980) be funded at $1300 ADA whether offered by the adult schools or the Community Colleges (the Community Colleges would continue to receive their current funding for adult education classes outside the ten ares);

Community College districts currently receiving more than $1300 per ADA be held harmless; and

Increases in ADA in either segment should be funded up to 5 percent plus inflation.

Although the report attempted to address the issues of funding equity and delineation of functions, it ignored two matters that favored the Community Colleges. The first was the ability of the colleges to transfer excess revenues from noncredit classes to support credit classes. The second was the incentive the recommendations would have created for the colleges to offer essentially noncredit education as credit courses in order to receive a higher rate of state support. Community College representatives nevertheless criticized the recommendations for increasing adult school funding 35-40 percent in times of fiscal austerity, and for attempting to address the problem of underfunding in the adult schools by turning state supported noncredit education into a categorical program in the colleges. A bill based on the Behr Commission recommendations was introduced but was opposed by the Community Colleges and was not enacted.

Instead, important changes in the funding of state-supported noncredit education in the Community Colleges were enacted in 1981. The reimbursement rate for incremental changes in noncredit ADA was reduced and an enrollment growth cap tied to changes in the state's adult population was established. The legislation also added section 84641 to the Education Code, allowing state support only for classes in the same ten areas authorized for the adult schools.

The 1981 legislation also required the Community Colleges to classify all classes as credit, noncredit, or community service offerings and to update the classifications annually. The 1982 Budget bill reduced Community College apportionments by $30 million and required the Board of Governors to specify which courses would not be eligible for state aid in 1982-1983. The board cut 5600 recreational, avocational, and personal development courses, most of which are now offered on a fee basis as community service classes. The current Community College financing mechanism, SB 851 (1983), has continued these policies.

Despite the intent of the 1981 legislation to equalize funding for noncredit education in the Community Colleges and the adult schools, the colleges are currently funded at a rate 16 percent higher than the adult schools. And in addition to the difference in apportionment rates, state funding policies differ for the two segments in several other ways. The rate for Community Colleges is an incremental rate for increases in ADA; the colleges receive a higher base level rate for existing enrollment, while all public school ADA is reimbursed at the same rate. Adult school figures are state averages, and actual support per ADA varies widely according to the revenue limit for each district. Moreover, the Community Colleges continue to be permitted to transfer revenues from noncredit ADA to support credit programs, while the public schools may not use adult education funds to support K-12 programs. This induces the Community Colleges to boost noncredit ADA in order to compensate for declining credit enrollments, since the districts receive the same level of funding as long as their total ADA remains the same.

ADA growth in the adult schools is capped at 2.5 percent per year while the cap in the Community Colleges is proportional to the changes in the adult population of the state. Some public school and Community College districts are tightly constrained by these caps, others are not. Finally, except for basic skills, citizenship, and high school completion classes, secondary school districts are permitted to charge fees to offset the costs of offering adult classes, but the Community Colleges can not unless they classify the noncredit classes as community service instruction and lose state support.

Other Problems with State-Supported Noncredit Programs

The ten program areas that define state-supported noncredit instruction are problematic in several respects. First, the program definitions are broad and vague. Local providers have considerable flexibility in designing courses to fit the program categories. Parenting programs, for example, are defined by a wide range of courses intended to serve a multiplicity of needs. In one district, they are aimed at helping parents with children from birth to kindergarten and also serve as day care programs and to train adults for employment in day care centers. In other districts, programs are aimed at teaching limited-English-speaking parents to teach English to their children, child development, and preparing children for college. Some districts provide programs for only preschool-age children and their parents.

Home economics is also subject to broad interpretation. In one district there are courses such as "Interior Design" and "Use of Antiques in the Home." In others, home economics may consist of courses in health care, nutrition, exercise, and sewing. Like parenting programs, home economics courses may be purely for personal enrichment or they may be vocational. Programs for older adults may inclde courses in physical and mental health, orientation and training for employment, nutrition, appropriate use and purchase of prescription drugs, investment, banking, real estate, entitlement of social security and medicaid, legal assistance, "therapy" through music, creative writing, art, and occupational therapy.

Second, there are numerous instances where particular courses qualify for funding under several program headings. For example, a course entitles "Coping with Alzheimer's Disease" may be offered under the heading of programs for older adults, health and safety, programs for the substantially handicapped, or parenting. Not only does course content often overlap, but so do the objectives of the courses. Short-term vocational training programs are intended to provide specific job skills (as opposed to general vocational education skills). Other program areas are also funded, however, for the same purpose. Parenting, home economics, health and safety, apprenticeships and even programs for older adults contain occupational components. Moreover, programs offered in noncredit areas are identical to programs offered for credit. For example, noncredit courses for older adults in banking, investments, and art and music are identical to courses offered other students for credit.

Third, program participants are not clearly defined. The definition of "older adult" for example, is subject to local interpretation. Since some of the courses in the older adult category are vocational, one must assume that the interpretation varies considerably.

Fourth, program criteria differ between adult schools and the Community Colleges. Adult schools, for example, may not collect apportionments for courses organized for therapeutic purposes (EC 52517). The Community Colleges, on the other hand, list "therapy" as one of the three criteria for approval for noncredit funding. According to State Department of Education and Chancellor's Office staff, program approval criteria and guidelines for the ten funded areas were developed independently by the two agencies.

Policy Options

There are two basic issues with regard to noncredit courses and programs specifically in the Community Colleges: (1) What level of instruction that is presently encompassed by noncredit offerings is appropriate to the Community Colleges; and (2) Under what circumstances and to what level should noncredit instruction be state supported. The deeper question raised by the first issue is whether the Community Colleges are truly postsecondary institutions, and if they are, what does that mean in terms of program offerings. The second issue raises the question of the appropriate mechanism for funding those educational services that are presently embraced by the category of noncredit.

Option 1: Eliminate state funding for all noncredit Community College courses; require that all such courses be supported through fees, as is now true of community service courses.

This option would deal with both the fiscal and the programatic issues surrounding noncredit instruction and would clarify the mission of the Community Colleges. A central concern regarding noncredit instruction is the fragmentation of institutional identity resulting from the proliferation of state-supported noncredit education programs. The components of state supported noncredit education have been viewed as incremental alterations of the missions of the institutions in response to discrete problems. This approach has raised serious questions about the ability of the institutions to perform their primary functions effectively.

This option would also permit the Board of Governors to differentiate solely between regular credit instruction and community service programs. Nonmatriculated students could still enroll in courses that were intended to meet short-term educational objectives. However, they would be required to pay a fee equal to that charged for courses now offered in community service programs.

State support would continue for noncredit (adult) instruction offered by the public schools, and it might be expected that the shift in classes from the adult schools to the Community Colleges that has occurred in the past would be reversed. Both options would also eliminate the need for a CPEC study of noncredit instruction.

Option 2: Direct the Board of Governors to determine which state-supported noncredit programs are postsecondary and appropriate for the Community Colleges and which are more appropriate for the public schools and provide for the return of the latter to the public schools with a transition period and possible exceptions.

As noted above, past policy debates over noncredit education have focused almost exclusively on the issue of who should be the provider. Little debate has centered on the need for an explicit state policy that defines noncredit education in the Community Colleges within the context of postsecondary education. More importantly, there has been little or no discussion concerning the effect that proliferating noncredit programs have had on the institutional coherence of the Community Colleges.

Short of transferring all state-funded noncredit instruction back to the public schools (adult schools), the Board of Governors could be assigned responsibility to decide which programs should remain with the Community Colleges because of their postsecondary nature. Presently, there is no state policy that defines the relationship between noncredit instruction in the Community Colleges and the mission of the Community Colleges. Obviously, diversity in present practices and different historical factors make it difficult, if not impossible, to create absolute uniformity in practice. Yet the Board of Governors could establish a general state policy regarding noncredit instruction and permit such exceptions as local circumstances require.

This option, like Option 1, would largely eliminate the need for troublesome local delineation of function agreements, as such delineation would be accomplished in most cases at the state level.

Option 3: Reaffirm "The Challenge of Change" Recommendations

The intent of this option, also, is to bring Community College program offerings in line with the mission of the Community Colleges, as defined in "The Challenge of Change." This option is congruent with the Commission's desire to narrow the primary mission of the Community Colleges to transfer and vocational education. Generally, it would affirm state intent that the principal mission of the Community Colleges is to enroll students in a sequenced program of study. It should be noted that the primary issue is not whether the current array of programs and courses under the noncredit heading should continue to receive state support. Instead, the issue is whether Community Colleges are the appropriate institutions to offer the current array of programs and offerings.

Under this option, however, primary responsibility for deciding this issue would be assigned to the California Postsecondary Education Commission rather than the Board of Governors (as in Option 2 above). The Challenge of Change recommendation calls on CPEC to study the need for noncredit instruction in the Community Colleges and public schools in consultation with the Board of Governors and the Department of Education. It should be noted that the Legislative Analyst has recently endorsed the need for such a study and has recommended that the 1987 Budget Act contain supplemental language directing CPEC to carry out the study and report its findings and recommendations by October 1, 1988.

APPENDIX A

Table 1: Enrollment (duplicated) by Program, 1983-84.

Program	Adult Schools[1]	%	CCC[2]	%
English as a Second Language	388,699	28	64,638	22
Elementary & Secondary Basic Skills - Remedial	248,667	18	54,094	19
Vocational Programs[3]	302,990	22	53,106	18
Older Adults	127,095	9	48,120	16
Health & Safety	94,698	7	26,274	9
Parenting	93,385	7	13,346	
Handicapped	88,624	6	22,739	
Citizenship	8,814	1	694	1
Home Economics	21,877	2	7,868	
Total	1,374,769	100	290,875[4]	100

1. October 1983 course enrollments from CBEDS data.

2. Spring 1984 course enrollments from CCC, 1985. Noncredit only.

3. Includes apprenticeships for both segments (less than 1% of total for K-Adult). K-Adult includes ROC/P enrollments, of which approximately 28,000 are adults (Piland, 1986).

4. Unduplicated enrollment was approximately 155,000.

Table 2: State Funding per ADA
California Community Colleges and
Adult Schools, 1984-85 and 1985-86.

	Community Colleges	Adult Schools
1984-85	$1237	$1071
1985-86	1314	1135

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ADULT LITERACY AND POSTSECONDARY EDUCATION IN CALIFORNIA: MEASURING AND DEFINING ADULT LITERACY: THE CURRENT DELIVERY SYSTEM; WEAKNESSES IN THE CURRENT SYSTEM; ISSUES AND OPTIONS.

Introduction

The term "functional illiteracy," not even coined in 1960, today refers to alarmingly large numbers of adults who cannot read or write (or compute) well enough to cope with the basic survival needs of modern society. The State Department of Education, using data collected by the 1979 California Survey and the 1980 Census, estimates that 4.8 million adults in California are functionally illiterate. This means that one out of four adults cannot perform, or has serious difficulty with, such basic tasks as: reading the front page of a daily newspaper or the job ads inside it; correctly filling out an income tax or medical insurance form; following instructions on a voting ballot, package of frozen food, or bottle of medicine; reading letters from a child's teacher or helping with homework. According to the best available estimates, only a small proportion of these adults (10-16%) are receiving literacy instruction.

The costs to the welfare of the state, in both human and economic terms, are immense. By all known measures, illiteracy correlates highly with unemployment, poverty, public assistance, and crime:

- Over one-third of mothers receiving welfare support are functionally illiterate.
- An estimated 75 percent of unemployed adults surveyed in 1982 lacked the basic literacy skills that would enable employers to train them.
- More than half of all chronically unemployed adults are illiterate.
- An estimated 60-80 percent of California's prison population is functionally illiterate. Between 40-45 percent of new inmates function below the sixth-grade level.

There is, of course, no simple explanation for why so many adults are excluded from the "ordinary commerce of a print society." Yet the major causal strands, which are both complex and interrelated, may be summarized as follows:

- The failure of the K-12 system in teaching children how to read and write, and in detecting and remediating deficits. California's dropout rate is higher than the national average and appears to be worsening:

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- The cultural disadvantages of the poor and minorities, and the generational cycle of illiteracy. As Sticht (1984) observes: "Typically, children who come from homes in which the parents are illiterate or only marginally literate become the next generation of students who do poorly in school and who may drop out and find themselves eligible for adult basic education."

- Demographic changes, including dramatic increases of disadvantaged and ethnic minority populations in many of California's large urban centers, and a large influx on people whose native language is not English. California attracts over 30 percent of this country's new immigrants.

- The growing complexity of knowledge in the context of rapid economic change. California has been described as being "on the cutting edge of the new information economy" which is displacing basic industries with "literacy intense" occupations requiring increased ability to process and apply information, thus creating a larger pool of unqualified workers.

The problem of adult illiteracy, like adult education itself, does not fit neatly into either California's tripartite system of higher education or its elementary and secondary school system. While basic reading and writing skills are properly the domain of the K-12 schools, the particular learning needs of many illiterate adults appear not to be. To aid the Commission in considering the problem, this paper looks briefly at the problem of defining and measuring adult illiteracy; reviews the state's current delivery system for adult literacy services; and discusses key policy issues emerging from this examination.

Measuring and Defining Adult Illiteracy

Different ways of measuring illiteracy yield different estimates of the problem's proportions. The Census Bureau tallies grade-level completion. Aside from the obvious shortcomings of relying on written answers to printed questionnaires and ignoring the widely recognized reluctance of adults to admit low educational attainment, the chief problem with census methods is that grade equivalents have little meaning when years of completion bear small relation to actual proficiency. Even when accurate, grade-level scores as measured by standardized tests and national surveys tell us little about what reading tasks a person can perform competently (Bormuth, 1975).

Thus a number of studies have attempted to define and measure literacy skills in terms of performance on a variety of tasks. The Adult Performance Level Study (1973), the first of its kind, identified competencies required to cope with the responsibilities of everyday life and concluded from testing a representative sample that one in five Americans was functionally incompetent. More recently, the National Assessment of Educational Progress (NAEP) assessed the skills of American's young adults in 1985, using a variety of performance measures that simulate the diversity of literacy tasks people encounter at work, home, and in their communities. It found that while most young adults can read the printed word, only a very small percentage can understand complex material. The only study of this kind to date dealing specifically with California was the 1979 NOMOS California Competency survey commissioned by the State Department of Education. It found that approximately 25 percent of California adults had "performance deficits" in skills required to perform the most basic tasks. The severest functional deficiencies were found among ethnic minorities, the elderly, the unemployed and undereducated, urban residents, and young adults.

While all measures agree that far too many adults lack the skills required to participate effectively in today's society, there is considerable debate over what that means. How much literacy does one need to be functional? A precondition of any effort to promote functional literacy should be a clarification of its objectives in precise terms. Critics of the Adult Education Act have found its stated goals so broad as to lack measurable focus for clients and program direction. In discussing the need to increase advocacy for adult literacy programs at both state and local levels, McCune (1984) noted a certain confusion about what is being advocated and called for a clearly stated comprehensive goal that is fully shared by all organizations, agencies, and individuals. But clear-cut standardized criteria for educational attainment levels have proved elusive, in part because of knowledge gaps but chiefly because of the great diversity of client groups.

Yet the question persists, what level of proficiency is necessary to be a functioning adult? At the heart of debates over where to draw the line between the categories "marginal" and "functional" illiteracy are rising standards. The nature of literacy has changed and continues to change over time. During the 1920's, a fifth-grade reading level was considered functional. During World War II, it rose to an eighth-grade equivalency. Today that level is insufficient for reading the antidote instructions on a can of pesticide or a food stamp notice. Studies show that 70 percent of the reading material in a cross-section of jobs is between ninth- and twelfth-grade level in difficulty and that it takes a tenth-grade competence to understand a federal tax return, a twelfth-grade level to read a life insurance policy or newspaper wire service article, and college-level ability to comprehend the average lease agreement for an apartment. This is why the National Academy of Education's Reading Committee has proposed as the minimum functional standard the attainment of twelfth-grade literacy: roughly, the ability to read with understanding nearly all the material printed in the New York Times or a magazine like Newsweek.

Nevertheless, reading experts caution against "the almost universal tendency to oversimplify the nature of literacy" as a fixed inventory of skills. As the recent NAEP study stresses, there is no single cut score that separates illiteracy from literacy. Rather, there is a continuum of skills on a series of literacy scales. For purposes of this paper, the three major groups of adults seeking literacy, as described by Jeanne Chall, Director of the Harvard Reading Laboratory, can serve as a rough gauge of this continuum:

- The "totally illiterate" whose skills fall below the fourth-grade level and who therefore cannot acquire information through print.

- The "functionally illiterate" who can read somewhat -- fourth- to eight-grade levels -- but are unable to use reading and writing for purposes beyond minimal survival and coping. (Staff in California's State Department of Education, Adult Education Program Services, consider "functional literacy" to be at the eighth- or ninth-grade level of proficiency.)

- The "new illiterates" or "marginal" literates, who are merely functional but lack the twelfth-grade equivalence required by a complex technological society.

The Current Delivery System for Literacy Services in California

The existing system of services for illiterate adults in California spans a wide variety of efforts, ranging from formal public school programs operating in traditional institutions through ad hoc volunteer "storefront" projects conducted as part of community outreach. These efforts, which vary enormously in scope, clientele, program objectives, instructional approaches, admission criteria and funding, may be grouped into the following major types of service providers:

- Public school adult education programs administered through the California State Department of Education.
- California Community Colleges.
- The California State Library, California Literacy Campaign.
- The State Department of Corrections and California Youth Authority.
- Nongovernmental, nonprofit organizations, including nationally affiliated volunteer programs, religious groups, and locally organized community action groups.

Adult Education:

California's adult education programs are by far the largest provider of adult literacy instruction in the state. Administered by the State Department of Education with state General Fund apportionments and federal flow-through funds under the Adult Basic Education Act (ABE), these programs are intended to enable adults to acquire the basic skills necessary to function in society, continue their education to at least completion of high school, and receive "employability" training. Literacy instruction is conducted within two of the ten specific program areas funded by the state: 1) elementary and secondary basic skills; and 2) English as a second language (ESL). These programs currently are offered by unified and high school districts and by Community College districts, and in some areas by both.

ABE in California appears to be emphasizing ESL. Of the estimated 624,411 adults served by the state and federal funds in 1984-85, only 20 percent were enrolled in elementary basic skills courses, while 80 percent were in ESL classes. In the main, California's ABE programs, because of their traditional structure and approach, appear to best serve those already functioning at or above the sixth-grade reading level; they attract few of the least literate adults.

Community Colleges:

The Community Colleges provide literacy training through ESL and basic skills classes, as noted above, and through remedial education programs. The remediation taxonomy developed by the Master Plan Commission differentiates three levels at which the colleges may provide basic literacy instruction for credit: the "High School Diploma Level" (courses at the ninth- through twelfth-grade level); the "Junior High Level" (seventh- through ninth-grade level); and the "Elementary Level" (sixth-grade level and below). While estimates from the Chancellor's Office show a small percentage of student enrollment in these credit courses, the major part of instruction for functional literacy clearly falls within the colleges' noncredit basic education programs.

California Literacy Campaign:

The California Literacy Campaign (CLC) was established by the California State Library in January 1984 with a one-time commitment of $2.5 million in federal funds through the Library Services and Construction Act (LSCA). The campaign's purpose is to significantly reduce the number of functionally illiterate adults in this state through library-initiated, community-based literacy projects. The intent is to supplement efforts already underway in the adult schools, Community Colleges, and private volunteer organizations with special emphasis on reaching English-speaking Americans who have difficulty succeeding in traditional classroom situations, partly because these are often viewed as scenes of former failure, and partly because these adults need intensive one-on-one assistance.

The initial appropriation funded 27 literacy projects in 100 communities. Based on "signs of unusual success and potential," the Legislature augmented the Governor's budget by $3.5 million in state General Fund dollars to support 48 literacy projects in 200 communities througout the state in 1985-86. To date, these programs have developed a network of trained tutors, conducted community outreach to attract participants, and are helping raise community awareness of local literacy needs. CLC estimates it has provided services to more than 10,000 adults, most of whom receive one-to-one tutoring several times a week for an average of a one-year period.

Department of Corrections:

Because of staggeringly high rates of illiteracy among California's adult inmate population, the State Department of Corrections has developed academic education programs that give priority to elementary basic skills and ESL instruction aimed at advancing inmate abilities up to fifth- and sixth-grade level competencies. This target grade level was chosen because: 1) studies show that between 40-60 percent of new inmates function signficantly below it on entry assessment tests, and 2) it is considered the "minimal" competency level necessary to participate in prison vocational programs and to prepare for reentry into society upon release.

Of the state's prison population of 50,070, only 3,977 (or eight percent) are currently participating in the academic education programs. Even more discouraging perhaps is the estimation that only 2,000 (or four percent) of the same adult inmate population are served by elementary basic skills and ESL programs.

Private Organizations:

In this area, which is both the most diverse and least well understood, the State Department of Education estimates that approximately 20,000 Californians receive literacy assistance from a variety of nationally affiliated volunteer organizations and locally organized community action groups. These programs typically rely on a cadre of trained tutors to provide individualized literacy instruction.

Two major national volunteer organizations are operating in California. Laubach Literacy Action (LLA), the largest of such providers in the state, services approximately 10,500 adults under the title California Literacy, Inc. Its national program trains and certifies volunteer tutors to teach reading, writing, and English as a Second Language. Basic literacy materials published by Laubach Literacy International form the core curriculum, which is supplemented by materials on adult survival and coping skills. Literacy Volunteers of America (LVA), which began serving adults nationally in 1962, has been active in California since May. LVA staff provide local tutoring programs with assistance in training, materials development, and program management. A third organization, the Assault on Illiteracy Program, is organized to teach reading and writing skills to the Black community, especially Black youth both in and out of school.

Figure 1: Adults Served by California Adult Literacy Programs

Provider	Number Served
State Department of Education, Adult Education Programs	624,411
Elementary Basic Skills	(132,872)
ESL Courses	(491,539)
California Community Colleges, Remedial Education Programs	144,484
Credit	(49,804)
NonCredit (Adult Education)	(94,680)
California State Library, California Literacy Campaign	10,000
California Department of Corrections, Academic Education Program	2,009
Private Organizations	20,000
Total, all programs	800,000

(These estimates are adapted from the State Senate Office of Research report, Invisible Citizenship: Adult Illiteracy in California, 1986.)

Finally, there are a variety of local programs which operate on a community-based learning model aimed at improving the quality of life in their communities and developing literacy skills as a means of "empowerment." While these programs are often small and largely undocumented, they may well constitute a highly significant segment of the service delivery system.

Weaknesses in the Delivery System

The availability of literacy services. All of the current literacy programs, both public and private, are serving only a fraction of the state's adult illiterate population. Of the 4.8 million functionally illiterate adults in California (which some analysts consider a cautious estimate), little more than 800,000 are receiving any form of literacy instruction. Even the most conservative estimates of the need dwarf the resources and facilities currently available to meet it. Significantly reducing adult literacy clearly requires expanding literacy programs and services. Such expansion is not possible without substantial increases in funding, which as far as the public schools and Community Colleges are concerned, current statutory limitations prohibit.

Moreover, according to all available predictors -- ranging from the state's growing immigration to its 30 percent high school dropout rate -- the demand for literacy services will increase. It is believed that California's new welfare employment program, GAIN, which mandates remedial education for its recipients, will contribute substantially to this increase. The projected number of referrals of GAIN participants to adult education and ESL programs "will likely strain an already overburdened adult education system" (Special Report on Adult Illiteracy, State Senate Office of Research, 1986).

Yet the problem here is not simply one of funding limits. It is also the relative lack of priority, reflected by such limits, attached to illiteracy. Clients of adult literacy programs are often in a kind of limbo and tend to fall between the cracks. Local Boards of Education and Superintendents focus on their traditional constituency, the K-12 population. As a result, some adult education programs, such as Oakland's, cannot accommodate all students for lack of space allocations; even if staff were increased, programs cannot get necessary classrooms. Thus along with funds, many observers agree, there must be legislative policies that make adult literacy a high priority concern among state and local administrators.

The least literate are not being served. A major concern is that efforts in the state are not reaching the population most in need of literacy training, the hard-to-reach beginning readers or semiliterate adults, a lopsided proportion of whom are both poor and members of racial and cultural minorities. The NOMOS study found that "not surprisingly, the groups with the most severe competence deficits are the ones who have been difficult to reach with conventional education programs" and concluded that "adult educators will be compelled to invent new delivery techniques." It is well documented that adult education programs tend to attract only the cream of the illiterate population, those higher up on the eduational ladder, who are most motivated and most easily served. McCullough (1984) and Delker (1984) have described how ABE became, more or less fortuitously, associated with GED preparation and "captive of the content of high school equivalency and the format of certification." As a result, those adults at the most basic level, for whom ABE was originally intended, have remained largely hidden and insulated. Jonathan Kozol captures the views of many in the field of literacy education when he summarizes the shortcomings of this largest system of services:

> Adult Basic Education is not legally restricted from admitting persons reading at the lowest levels; but the traditional modes of ABE discourage their participation. Its methods of recruitment, its institutional setting, its replication of a school-like situation, its physical distance from the neighborhoods in which the poorest and the least literate people live, as well as the mechanistic nature of the method it employs, have virtually assured that few of those who read beneath the fifth-grade level will begin, complete, or even have the chance to hear about its programs. (Illiterate America, p.41)

California's Adult Education program is generally regarded as one of the best in the country. Its in-service competency-based staff development program is being adopted as a model by those outside the state, and it appears to have established more adult schools outside the formidable barriers of traditional institutions and in community centers than ABE programs in most states. Yet by and large, most of Kozol's strictures seem to hold true for California as well as the rest of the nation; adult education programs here have had little success serving the hard-to-reach illiterate adult.

On the other hand, community-based programs, which employ radically different methods, appear to be succeeding with this population. Such programs do not isolate literacy from other difficulties clients may be facing and tend to view the literacy process as a means of "empowerment." The problem is that these are the least-funded programs, the smallest in number, and relatively little is known about them throughout the eduational community.

Insufficient knowledge regarding the delivery system. Determining statewide policy for expanding literacy services is hindered by a void in the descriptive data about literacy programs. There is little detailed information available about who is delivering these programs, what they do, how many are served, how well they work, what they cost, how they are funded, and what unmet needs they might have. Student data are in equally short supply with regard to levels of performance, rate of growth, and benefits derived from various instructional approaches (McCune, 1984). This is true even of California's adult education programs, which range from traditional classroom instruction to more innovative community outreach efforts like those in Oakland and Watts.

Well aware of this, the State Department of Education has commissioned a study by SRA Associates to map the existing system of service providers. The study is intended to provide an inventory of agencies and groups currently delivering literacy services, and a comprehensive survey of the range, activities, clientele served, methodologies, success rates and cost of different elements in this delivery system. The study's major purpose is to help identify the most successful and cost effective programs and to provide a data base for developing a coherent means of coordinating the state's diverse literacy services.

One major practical concern is that the time it takes many adults to learn to read is at odds with the "short term time-limited objectives" characterizing most adult literacy programs. They "tend to be implemented for short periods of time, while aspiring to long-term goals (Weber, 1975). Sticht, in calling for a developmental rather than a remedial approach to adult literacy instruction, argues that "quick fix" programs attempting to solve 18 or more years of literacy problems in the brief span of 25 to 100 or 200 hours of adult remedial training yield only the most limited educational and socioeconomic returns. They do not establish the sense of continuity necessary for student to persevere and cannot "improve adult competencies enough to offer much by way of transfer to their children (Sticht, 1984).

Coordination and Communication. The problem of illiteracy in California is too pervasive and too complex to be addressed by any single approach to program philosophy. The tremendous differences in the ethnic, cultural, and economic characteristics of the client group, and the broad spectrum of competency, extending from marginal ability to none at all, clearly require a diversity of instructional approaches in a variety of settings. Yet this pluralistic delivery system poses obvious problems of coordination in mobilizing and maximizing available resources.

With notable exceptions, cooperation among literacy programs tends to be sporadic or nonexistent. Their insularity is marked by a certain competitiveness, related to acquisition of funds, organizational pride and protectiveness, and differing educational perspectives. But the chief problem is that there are not sufficient linkages between programs to facilitate the vital exchange of energy, ideas, and information necessary for improving their services and for making them more accessible to clients.

In many of California's urban centers, there are no central referral agencies or mechanisms illiterate adults can use to secure services (clients must persevere through several channels in order to get help), and there is no referral system between the adult schools and the Community Colleges. Library programs often lack strong relationships with ABE programs for mutual referral.

Thus, innovation tends to occur in isolation. The more unusual a program is in terms of clients served or instructional strategies used, the more likely it is to be insulated from other programs that share a common concern for reducing illiteracy (McCune, 1984). ABE teachers often have little detailed familiarity with methods used in other classrooms, and program directors have limited knowledge of effective practices in other cities or regions. A good deal of anecdotal evidence, for example, suggests that various community-oriented programs are highly successful in reaching and motivating "hard-core illiterates and angry young drop-outs." But such information is not generally available to literacy educators in ABE or volunteer tutor programs, in part because of a lack of systematic procedures for identifying promising practice and disseminating procedures for currently known, and in part because of the dearth of descriptive evaluative data about delivery systems. Thus successful community-oriented approaches are rarely examined as replicable models. At the same time, community-based programs recognize the need to increase their visibility in the literacy field and to strengthen links with others working in it as a means of improving both managerial and educational effectiveness (ACBE, 1983).

There is little disagreement about the need for such coordination, especially in view of the meager resources available, but it is not clear how to achieve it. The various alliances and networks that have been formed and reformed have been subject to the charge of "networking nothingness." It is too early to tell what if any appreciable impact the California Alliance for Literacy, recently formed to facilitate coordination at the state level, may have.

Issue 1: What public policy should the Commission recommend regarding the delivery of adult literacy services?

The preceeding discussion has outlined in some detail the existing means of delivering adult literacy instruction and the principal shortcomings of that "system." The most pressing need appears to be for greater coordination of services and making more effective use of community-based providers.

Policy Options

Option 1: Recommend creation of local service area agencies or alliances responsible for coordinating literacy services in a particualr region.

This option assumes that the effective statewide coordination is not feasible given the magnitude of the problem and diversity of services, and only smaller regional alliances can facilitate cooperation and coordination.

Option 2: Recommend that the State Department of Education establish a new central statewide coordinating agency responsible for creating and maintaining functional linkages among literacy programs on a regional basis.

Such an agency would: 1) provide forums for information sharing and for extending the state of the art through conferences and workshops, in formats that respect the integrity of individual approaches while recognizing interdependence and common purpose; 2) promote more effective collaboration between ABE, volunteer, and community-based programs in terms of mutual referral and assistance, and between educational programs and private sector employers; 3) be a link to national networks and clearinghouses; and 4) provide leadership in placing the goals of individual programs in the context of a larger common purpose.

Option 3: Recommend that the state contract with local providers, both public and private and including community based organizations, to provide literacy instruction.

Increasing the number of providers, particularly community based organizations, that are eligible to receive funding for literacy programs, increases the number of illiterate adults that are reached by state programs. Such expansion would allow a larger proportion of ABE's programs to be established in community centers rather than conventional school settings in order to better serve the "hard-to-reach" illiterate adults. Attention should be given to establishing stronger relationships with the private sectors, creating incentives for business and industry to provide classroom space.

Option 4: Defer action pending results of the SRA Associates study and the needs assessment study recommended by the Commission.

More precise information about the relative instructional success and cost effectiveness of the various literacy services, and about the current and projected needs of clients, may enable the Department of Education to recommend more efficient overall expansion of statewide services targeted to meet the diverse needs of special populations.

Issue 2: What public policy should the Commission recommend regarding state support for literacy services?

Of the estimated $197 million in state general fund apportionments spent for Adult Education programs in 1985-86, approximately $60 million (30 percent) is spent on elementary basic skills and ESL instruction in the Community Colleges and K-12 system. An additional $8.1 million in federal funds are available as supplemental aid through the National Adult Basic Education Act. These funds are contracted out by the State Department of Education to various local agencies, including high school and unified districts, Community Colleges, correctional institutions, and community-based organizations, to provide adult basic education services. Almost two-thirds of the school districts participating in state-funded adult education programs have received these supplemental ABE grants (150 out of 233 or 241).

Any expansion of California's literacy services, regardless of the particular programmatic forms that expansion might take, cannot occur without major increases in funding. Limited financial resources are the primary obstacle confronting all adult literacy programs. But the state's inflexible funding policies, particularly the post-Proposition 13 cap on the funding and growth of adult education programs, percent such necessary increases at the present time.

In the wake of Proposition 13, the state imposed a cap on the funding and growth of public school adult education services. The funding legislation essentially froze adult education programs where they were in 1978. These statutory limitations presently allow adult education a 2.5 percent annual growth and a six percent cost-of-living increase, which effectively prohibits the start up of new programs. The Governor's 1986-87 budget provides $3.9 million which limits ADA growth to two percent. The results are large waiting lists throughout the state for programs offering basic skills and ESL instruction. Of the 382 school districts eligible for adult education programs, only 233 currently offer them. Districts wanting to initiate adult education services, and districts wanting to expand ongoing efforts to serve adults on waiting lists, are presently unable to. There is currently no statewide mechanism to permit districts to establish new adult education programs delivering basic literacy instruction.

Policy Options

Option 1: **Recommend that the state funding be significantly increased for the California Literacy Campaign and other community-based programs.**

By every indication, the smallest and least-funded groups of programs best services adults functioning at the lowest levels, a high proportion of whom are poor and of minority background. These community-oriented efforts appear better equipped to reach and serve those who are disenchanted with or unable to benefit from conventioanl approaches.

While the California Literacy Campaign has shown considerable promise, expansion of its services currently remains uncertain. CLC funds have been extended from three to five years for the 48 existing projects, but the Governor's 1986-87 budget eliminated an additional $1.65 million requested by the State Library for planned expansion of CLC programs into additional communities in California. Even at the current level, CLC projects are hampered by lack of technical assistance and other support services.

Finally, literacy practitioners are at constant pains to point out that volunteer programs are not free. It costs money to organize, train, and supervise tutors, to acquire space and instructional materials. Most of the smaller community-based programs highly valued by literacy activist operate on shoestring budgets.

Option 2: Recommend lifting the growth and funding restrictions on elementary and secondary basic skills and ESL.

This would enable new districts to start up adult education programs and those currently operating to expand their efforts to serve clients on waiting lists.

Issue 3: What public policy should the Commission recommend regarding the role of the four-year institutions in reducing and preventing adult illiteracy?

The University of California (UC) and the California State University (CSU) systems, already concerned that remediating the marginal literacy skills of their students decreases the availability of regular academic courses, are not prepared, by virtue of mission or current structure, to deliver basic literacy instruction. At the same time, those striving to abolish adult illiteracy see the universities as natural participants in such a struggle. Literacy activists point out that universities are doing less than at any time during the past 20 years to assist with problems that appear to be outside their immediate domain and call for their increased involvement. The logical areas for such participation are community service and teacher preparation.

Colleges and universities, it is argued, can play an important role in developing basic skills outreach services for functional illiterates who are not college bound. The federal Adult Literacy Initiative, which promoted the use of college credit to encourage literacy volunteers, has reallocated awards to 61 colleges and universities during 1986-87 (though at a lower level than the previous year) to continue to operate college work-study adult literacy projects. Kozol has suggested that "a year of literacy work by would-be teachers might be established as a precondition for certification by state boards of education." At the very least, others urge, such field work could be awarded academic credit, not just for future elementary and secondary teachers, but for students majoring in the liberal arts as well.

In California, the Director of Special Programs in the CSU Chancellor's Office has recently established a task force to examine its loosely-defined community service mandate with just such proposals in mind. Using $500,000 in lottery funds as seed money, the task force is charged with developing a model for civic internships which all 19 campuses can use. While exploring such options as credit courses, paid internships, and cooperative education projects, the emphasis will generally not be on developing new community services projects but utilizing existing ones. Such efforts can have significant impact in terms of both increased literacy services for clients and instructional benefits for students, especially future teachers.

A crucial dimension in dealing with the issue of adult literacy is prevention; treating the problem at its source. While growth in immigrant populations continues to exacerbate the problem, a high percentage of the estimated 230,000 adults added each year to the ranks of California's illiterate population are people who did not learn to read in the early elementary grades. This group includes people whose reading problems were not detected or remedied before they either dropped out of high school or graduated without functional literacy skills. If children do not develop reading and writing skills during these early years, it becomes more difficult and more costly to acquire them as adults. Moreover, illiterate parents have no way to give their children the kind of preschool preparation (such as reading aloud to them) which numerous studies show most good readers get. Efforts are reportedly underway to develop reading preparation programs for children of illiterate parents prior to formal schooling. But equally important is the apparent failure of the K-12 system to provide appropriate and adequate instruction to large numbers of children. While elementary and secondary schooling is not a direct concern of postsecondary education, adult literacy must be attacked at both levels, because even massive expansion of adult literacy services cannot alone solve the problem.

Recent reform legislation has begun the process of improving the quality of California's public schools, with strong emphasis on more rigorous high school curricula and stiffer graduation requirements. But reading specialists, stressing the critical importance of the early years in setting the stagg for later learning, point out that raising graduation standards is like shutting the proverbial barn door after the horse has bolted. Children who have not learned to decode in the first four years of school, through systematic instruction in phonics and step-by-step progressions in consecutive skills, continue to fall farther and farther behind in the ensuing grades, inevitably becoming dropouts or "pushouts." The evidence of both accumulating research and the significant numbers of young people who leave high school lacking functional proficiency underscore the pressing need to upgrade the quality of reading and writing instruction in the elementary grades.

The challenge facing the schools is not an easy one. Many children begin formal reading instruction with low levels of readiness because of disadvantaged socioeconomic backgrounds and because of reading and learning disabilities. Reading begins in the home, and studies repeatedly show that preschool children of poor and cultural minority parents are less likely to acquire the language development, stock of concepts and associated vocabulary that lay the foundations for reading, especially if parents are illiterate or semiliterate. Moreover, research shows that from 10 to 15 percent of our society's children and adults have severe difficulty in learning to read. Thus while proposed reforms like reduced class size can help insure more individual attention, both toward early detection and remediation of reading difficulties, using such opportunities requires knowledge and skills many teachers appear to lack.

Policy Options

Option 1: Recommend that the University of California and the California State University review their teacher preparation curricula to insure that their graduates are fully skilled in the prevention of illiteracy.

The view is widely held among reading specialists, educational researchers and seasoned literacy educators that, as one puts it, "Too many elementary teachers simply don't know how to teach reading. They don't have the knowledge base or techniques, they don't know what to do when they encounter a child who is having difficulty learning how to read." The National Commission on Reading concurs. Its recent report, Becoming a Nation of Readers, concludes that "prospective elementary teachers get only a fleeting introduction to the knowledge required for teaching reading." A good deal has been learned during the past decade or so about what such knowledge consists of. The report summarizes "substantial advances" made in our understanding of the intricacies of the reading process that "lay to rest once and for all some of the old debates" about what should be taught and how, while at the same time identifying "practices that are less useful, outmoded, or that persist in the face of evidence to the contrary."

The report discusses prevalent shortcomings in current classroom practice (ranging from the need for well-designed phonics and more direct comprehension instruction to extending literacy in the later grades through texts richer in concepts and more independent reading). One of the Reading Commission's major recommendations is that prospective elementary school teachers should have more extensive preparation in reading theory and stronger training in the practical aspects of teaching to gain the "considerable amount of specialized knowledge" required for effective reading instruction. This requires that teacher education programs be lengthened and improved in quality -- teaching methods courses are often seen as "offering a bag of workaday tricks with little intellectual substance" -- that admission standards and certification requirements be raised, and that teachers' salaries be increased to provide incentives for such preparation.

Option 2: Recommend that the California State University, in cooperation with the University of California, explore alternative ways to increase the number of teachers skilled in literacy instruction.

In no area of public education is the need to professionalize instruction greater than in the still relatively new, institutionally marginal field of adult literacy education. "The types of programs which are necessary for dealing with adult functional literacy," Harman (1984) notes, "fall within the least developed realm of educational practice." Teaching illiterate adults requires a variety of skills "some or all of which are not required in traditional elementary or even secondary school settings" (Young, 1980). The majority of literacy instructors enter programs with little or no formal training. Less than a third of the nation's ABE teachers are certified in adult education or have completed college work relevant to the special task of instructing illiterate adults.

Teacher training institutions and schools of education generally do not include in their curricula courses that prepare teachers for this specialized role, courses which encompass knowledge of the reading process, skills in diagnosing reading problems, strategies for overcoming the "hidden barriers of doubt and resentment" that impede learning, for teaching reading as the discovery of meaning, and using "reading circles" and other group instruction formats.

But there are serious barriers to improving the preparation of adult education teachers. There is little incentive for students to major in adult education because of its marginal status as a foster child of the normalive school system, its lack of competitive salaries, career ladders, and institutional constituency. The vast majority of ABE teachers are part-time "moonlighting" or unemployed elementary and secondary teachers, which helps account for the high turnover rates in adult education.

Option 3: Recommend that CSU and UC develop a jointly administered community service program to encourage their students to serve as literacy training assistants in the adult schools, California Literacy Campaign, and programs operated by private nonprofit organizations.

As discussed above, such a program would provide an important learning opportunity for all students and particularly for prospective teachers.

ISSUE PAPER NO. 14*

CONTINUING EDUCATION IN CALIFORNIA'S FOUR-YEAR COLLEGES AND UNIVERSITIES; CURRENT PROGRAMS; WHICH INSTITUTIONS SHOULD OFFER PROGRAMS; HOW SHOULD PROGRAMS BE PAID FOR.

Background

The 1960 Master Plan spoke of "continuing education" as including programs for "any person beyond the compulsory school attendance age who is not enrolled for full-time regular school work (and who) may be enrolled in special, part-time, extension, or adult education classes" (p.140). This definition was intended to encourage the provision of educational alternatives for a then distinct minority of higher education enrolleess: part-time students who were not attending a regular schedule of couses on campus.

Since 1960, the number of students attending colleges and universities under the broad umbrella of "continuing education" has increased dramatically. Today, they constitute a majority, primarily because of the aging of the postsecondary student population (see Background Paper #2). Although colleges and universities have responded with some changes intended to mainstream nontraditional but degree-motivated students into the regular campus environment, the majority of these students continue to be intermingled with intermittent, non-degree seeking students in continuing education programs. Much of the system remains structured around a model that better supports younger, full-time students than older, part-time students who are employed and have families.

Part-time students have outnumbered full-time students nationally since 1972 (American Council on Education, 1974). In California, part-time students now outnumber full-time students overall (58% to 42%) although part-time students tend to be concentrated in the Community Colleges where they constitute over 70 percent of the enrollments statewide. (The average age of all Community College students is over 30.) In the CSU, about 29 percent of undergraduates and 77 percent of graduate students are enrolled part-time. In UC, less than 10 percent of the undergraduates are part-time, although 30 percent of graduate students fit into this category (CPEC, 1986, pp.23-24).

The traditional view of public postsecondary education in California, and indeed the view articulated by the 1960 Master Plan, has been that most students who seriously seek degrees will do so through the regular campus program. Others will gravitate to single courses for which there are no prerequisites and that do not lead to a degree. This view is based on the assumption that the traditional college-age population will gravitate toward degree-granting programs, while older, employed persons with families will turn to a single course or courses because they do not need or want a degree.

If this assumption was valid in 1960 (which is arguable), it is certainly not now, nor will it be in the future. Since 1960, the employed, part-time, over-25 student who retruns to school to continue an interrupted education has become the norm among college students. This will continue, since demographers show that the population will continue to age into the foreseeable future.

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*Prepared by Marcia B. Salner

In order to document these changes and illustate current alternatives to the regular program, this paper will briefly describe special, part-time, and extension programs in the four-year public and private colleges and universities. These activities in the University, the State University, and the private colleges and universities will be described first. Thereafter, the limited information available regarding programs offered by noneducational organizations and out of state colleges and universities will be summarized.

University of California:

The University of California today is closest to the model of the 1960 Master Plan. Its nine campuses provide a complete range of baccalaureate, master's, and doctoral degree programs, offered on campus primarily during the day. Except for a brief experiment during the early 1970s with external degree programs, the University provides no special instructional programs for older, working adults, although special counseling and support services exist on some campuses. Older, working adults are present on the campuses as matriculated students, but they are not a large group. The average age of students at UC is the youngest of the three public postsecondary segments, and UC has the fewest part-time students (CPEC Director's Report, 1986). Degree programs are administratively organized primarily for the traditional college-age residential student.

The University's traditional alternative to the full-time pursuit of a degree is its extension programs. These were described by UC in 1972 as "those educational activities such as classes, lecture series, conferences, workshops, seminars, short courses, correspondence courses, and community education and development programs, whether for credit or non-credit, offered by the University of California to other than students formally registered in the University's degree programs or participants in intern and resident programs and other such regular campus programs as designated by the Chancellor." (Policy statement issued by Vice President Chester McCorkle, July 28, 1972.)

Although many of these programs are well respected, they do not serve students who desire a degree but who do not want to or cannot register as full-time students. This is not to say that "nontraditional" students have been specifically excluded from the mainstream of the University's degree-granting programs, internships, residencies, and other "regular campus programs." In 1986, the average age of UC graduates was 24 -- two years older than the "traditional" age of a college graduate. The statistic leads one to speculate that although some of the 24 year olds may have started school two years later, many others probably took longer to get their degree with a less than full-time schedule within the full-time mainstream. These slightly older students have apparently been able to succeed in the regular program even though they may have been part-time, returning, or intermittent students. It is safe to say, however, that as the general population grows older, fewer potential students will have as much success in the current model.

Appendix A describes in greater detail UC's Continuing Education offerings.

California State University:

In contrast to UC, CSU's alternative program, called Extended Education, is specifically geared to working adult students who seek degrees. Only 13 percent of enrollees in these courses are in nondegree granting courses (although it should be noted the system does not keep track of enrollments in some kinds of nondegree courses like noncredit conferences and seminars offered by individual faculty or departments through the campus foundation). Since 1977, extension summer sessions, external degree and Consortium programs and special sessions have been fiscally and administratively integrated as "Extended Education" so they could be coordinated and planned in the same fashion as are "regular" degree-granting programs.

In 1986, the average age of the CSU graduate was 26 -- four years older than the traditional norm. It appears that some of these students are attaining their degrees through Extended Education. In the last decade, though Extended Education enrollments have been more or less steady at an average 200,000 per year, enrollments in nondegree courses have steadily declined while concurrent enrollment and special session degree/resident credit course enrollments have steadily increased.

Appendix B describes in greater detail CSU's Extended Education offerings.

Independent Colleges and Universities:

California has 181 regionally or nationally accredited degree-granting colleges and universities, and another 194 that are nonaccredited (but authorized or approved by the State). Information about alternative education programs in these independent schools is not systematically gathered and is largely anecdotal. Some information, however, is available from the Association of Independent California Colleges and Universities (AICCU), which has 62 member institutions accounting for most of the enrollment in the segment. According to AICCU, of the approximately 170,000 matriculated students in accredited private institutions, about 27,500 (16%) are in special degree programs designed to meet the needs of working adults. Data on the number of nonmatriculated students in single extension-type courses is not collected by AICCU and no segment-wide information is available.

The independent colleges and universities have been more active in the development and implementation of special and part-time degree programs than the public segments. Because they are not government-funded or regulated, they have greater flexibility and have been able to reorganize their structure and priorities with some success. As a result, off-campus, primarily degree-oriented instruction and other innovations were institutionalized early and have remained essential aspects of independent education. For example, in 1972 there were 145 external bachelor's level or higher degree programs in California, and 131 of them were offered by nine independent colleges and universities. Programs in business, public administration, and education predominate.

In 1980, CPEC's review of off-campus education discovered that "the primary factor that distinguishes off-campus educational activity in the independent colleges and universities from those of the public segments is the emphasis on degree programs" (*Degrees of Diversity*, p.68). The independent colleges and universities had more off-campus locations offering degree programs than did the public segments, whose off-campus instruction was chiefly in extension, and these off-campus programs were generally farther away from the parent campus than those of the public segments. In addition to these degree programs, many AICCU member institutitons had and continue to maintain large noncredit programs resembling extension operations (although no enrollment figures are available).

Today, AICCU reports that 14, or 22 percent, of its member organizations have large alternative programs. Some of these colleges have only been in existence since the early 1970s and were specifically founded to meet the needs of older adults. Almost the entire enrollment of National University and John F. Kennedy University, for example, is made up of working adults who are continuing their education. Appendix C describes four of these institutions and their enrollments as examples.

Out-of-State Colleges and Universities:

There are a number of institutions with headquarters in other parts of the country that operate alternative programs in California. For example, New York University and the University of Chicago hold programs for nonmatriculated, working adult students in large cities around the country. Students are solicited through direct mail advertising campaigns. Oregon State University and Northeastern University are also active (Salner, 1985, p.6). However, information about these programs is hard to find and largely anecdotal.

It should be noted that California institutions operate outside of California, too. Both public four-year segments as well as independent colleges offer degree and non-degree programs in other states and countries. Special programs are often transmitted campus by TV to corporate and business locations in many other states. The technical capacity of many colleges and universities to offer educational programs by TV or computer across state and national lines is a new wrinkle in continuing education hardly dreamed of in 1960.

Noncollegiate Alternative Education:

Professional associations and business coporations are more and more frequently offering nondegree courses, largely because state laws and consumer expectations create a demand for such programs. More interestingly, in a few cases some are offering "degrees" -- for instance, General Motors University. According to the *Chronicle of Higher Education*, corporations spend approximately $210 billion annually to provide skill-oriented education and on-the-job training for adults, offering 17.6 million courses for 12.2 million employees in the United States. Other large providers of in-service education are the U.S. Civil Service Commission and religious organizations. A 1980 survey found that as many as 50 percent of the adult population participating in alternative education programs were in non-collegiate organizations. Appendix D provides a breakdown of these survey results.

Discussion

"Continuing education" as a description of instructional programs has, over the years, become the catch-all for whatever courses and programs that do not easily fit the traditional residential degree program model originally designed for recent high school graduates. To date, the distinguishing characteristics of most of these programs have been (1) older and/or employed students; (2) part-time students; (3) a greater number of courses offered off campus; and (4) scheduling of courses for convenience of older, working students. This paper's descriptions of these programs, especially in the public segments, illustrate the differences in state policy toward alternative education and suggest a need for clearer direction.

The Master Plan itself may have created some of the confusion in setting forth two different distinctions within its definition of continuing education. UC adheres to the Master Plan distinction of "stated, planned programs" and "courses for which matriculation...(is) absent" (Master Plan, p.144-5). The critical variable here is matriculation. UC divides its offerings into degree programs for matriculated students, and extension programs for nonmatriculated students. The extension programs are specifically nondegree oriented.

CSU, on the other hand, has followed the other distinction: Any person beyond the compulsory school attendance age who is not enrolled for full-time regular school work may be enrolled in special, part-time, extension, or adult education classes for which he (or she) is eligible." Here, matriculation is not the variable of consequence; instead, adapting existing campus programs to changing demographic circumstances has been a CSU systemwide policy goal. In other words, CSU divides its offerings into 1) the regular, full-time degree granting programs for "traditional" students; 2) special, part-time degree granting programs for "nontraditional" students; and 3) extension, non-degree granting programs for "others." (Extension is used for both 2 and 3.)

The relevance of these differences between program offerings and concepts lies in the implications for state policy priorities and funding. At UC, matriculated students in the regular program are part of state supported programs, and non-matriculated students in extension programs are part of self-supporting programs. There are exceptions: summer sessions are self-supporting, and a majority (65%) of the students in those programs are matriculated; and Cooperative (Agricultural) Extension serves only nonmatriculated students but is supported by the state and federal governemnt. At CSU, some matriculated students are in state supported programs and others are in self-supporting programs. It is difficult to glean from this amalgam any consistent state policy -- particularly when one remembers that tuition is defined as the costs of instruction, and that students in self-supporting

programs are therefor paying tuition. One especially interesting example of this policy confusion is that some matriculating students at CSU are paying tuition in degree-granting programs because they are in special part-time programs, while no matriculating students at UC must pay tuition to work toward a degree, except in summer session.

In summary, the Commission must make policy decisions in two distinct areas: (1) the offering of part-time degree programs for matriculated students at UC and CSU, beyond the traditional on-campus model, and the funding for that instruction; and (2) the offering of community service instruction primarily for non-matriculated students at UC and CSU, and the funding for that instruction.

Issue 1: What public policy should the Commission recommend regarding the offering of part-time degree programs for matriculated students at UC and CSU, beyond the traditional on-campus model?

Issue Elaboration

Only eight pages of the Master Plan (pp.137-145) are devoted to describing adult education in the Community Colleges, the State Colleges, and the University of California. The recommendations of the Survey Team regarding adult and continuing education focus primarily on coordination of single courses for non-matriculated students. The Master Plan does recommend that institutions make more use of late afternoon and evening scheduling of regular offerings in order to better conform to space allocation standards, and Summer sessions are also encouraged for the same general reason. However, there is no recognition that adults might become a substantial student population requiring special consideration.

The Commission should acknowledge the changes since 1960 in the age distribution of the postsecondary student population. The advancing age of this population means that more matriculated postsecondary students are likely to be employed and raising families while they are attending school. Their instructional and support service needs will differ substantially from those of the "traditional" student. Issues like access and admissions, retention, transfer and articulation, and financial aid are addressed in other issue papers, but is must be stressed the aging of the college population will have significant implications for all of these issues and others.

Policy Options

Option 1: Recommend that the mission statements of the four-year public segments be changed to make a clearly stated commitment to mainstreaming the older, part-time adult student who is eligible to matriculate into regular on-campus academic degree programs.

Option 2: Recommend that a ratio of students under age 24 to students over age 24 be established in statewide admissions policy, and that instructional and support programs be changed to respond to this ratio.

These options imply the obligation, on the part of the state, to create budget formulas and procedures that will enable rather than discourage changes in the on-going operation of the campuses to meet the needs these recommendations would create.

Option 3: Recommend that specific responsibility for meeting the educational needs of older, part-time adults who are eligible to matriculate be delgated to CSU and reflected in its mission statement.

As background information in this paper notes, CSU's continuing education programs contain a more specific component for part-time, matriculating adults than do UC's. Additionally, UC has been committed to faculty research, and has been a major contributor to state and national research and development; thus student outreach is not a priority of the faculty. Within its own mission and functions, CSU has assumed responsiblity for creating opportunities for access, including offering late afternoon and evening instruction and building its continuing education programs for matriculating adults. Presumably, this recommendation would mean less disruption to both segments' programs in the course of filling the need.

Option 4: Recommend that the state fund all courses and programs for matriculated students enrolled in any degree program.

This option would provide state support for external degree programs, off-campus instruction, part-time programs, and special media programs as long as they are specifically for matriculated students. It is in keeping with California's "no tuition" policy, because no matriculated students would contribute to the cost of instruction (at least in theory) in the pursuit of a degree.

Option 5: Recommend that the state fund all courses and programs for matriculated students enrolled in degree programs, with the exception of summer sessions or special sessions. Permit institutions to offer summer sessions or special sessions on a self-supporting basis, as long as such sessions are supplemental to and do not supplant regular session attendance.

This option relies on the rationale that summer and extra sessions are a convenience to students, providing more opportunities to study than is possible during the regular academic year. Therefore they should be self-supporting supplements rather than state-supported regular programs.

Option 6: Recommend that the state fund all courses and programs for matriculated students enrolled in degree programs, except for courses that are offered off campus, scheduled outside the regular academic day or year, and/or use nontraditional instruction, such as television or independent study.

This option is based on the rationale that on-campus instruction and social participation among a primarily residential student body are key to pursuit of a degree, therefore state funding for anything else would be inconsistent with the policy of providing state support only to students seriously seeking a degree.

Option 7: Recommend that CPEC, in cooperation with the Department of Finance and representatives of the postsecondary community, prepare a report comparing the projected costs of Options 4, 5, and 6, and make recommendations for state policy.

Estimating the short-term and long-range costs to the state of these policies would require detailed study. This option establishes the mechanism for thorough research of this issue, as well as for balancing the effects on potential students against the effects on the budget.

Issue 2: What public policy should the Commission recommend regarding the offering of nondegree oriented community service instruction for nonmatriculating students by UC and CSU?

The 1960 Master Plan anticipated that there would, for the foreseeable future, be some number of people who wish to take one or more courses but who do not want to enroll in degree granting programs. Motivations might range from a personal interest, to career improvement, to community participation. The original recommendations regarding continuing education spoke to this group of people, and the Commission should address the issue as well.

Policy Options

Option 1: Recommend that both UC and CSU continue to offer community service courses for nonmatriculated students who do not seek degrees, provided that such programs be entirely self-supporting.

This option is what is intended under current policy -- but what occasionally doesn't happen because of a mix of nonmatriculated students with matriculating students in the same course. The advantage is that the segments are free to offer whatever there is a demand for, without having to satisfy state policy makers' priorities and expectations. The disadvantage: with no public policy intervention, there is no guarantee that self-supported community service courses will respond to needs as opposed to demands. As an example, it would be possible for a campus to offer a community service course in wine tasting because of community demand, while declining to offer a course in Energy Conservation because there is little community demand.

Option 2: Recommend that all courses and programs offered to nonmatriculated students be self-supporting to the extent that all direct costs of instruction are recovered by tuition, while specified indirect costs are supported by the state.

This option uses the technically correct definition of tuition (i.e., the cost of instruction), and anticipates better coordination and integration of community service courses into the regular campus program because it relies on the same sources for noninstructional costs as do the regular programs. However, it can be anticipated that establishing this model in continuing education could well initiate the same "floating definitions" of direct costs and indirect costs that have plagued budget negotiations between the state and the segments in recent years. The result could be uncertain and unstable funding patterns from year to year, making program planning difficult.

Option 3: Recommend that a fund for fee waivers be created to provide state tuition assistance to nonmatriculated students who can demonstrate need.

This option assumes there is a need for improved access to community service programs for nonmatriculating adults, and that the community colleges and adult schools may not be able to meet all of the need for non-degree oriented postsecondary education. The recommendation is based on the rationale that as economic patterns shift and employment markets change, it will not be unusual, for instance, for people with baccalaureate or higher degrees to seek retraining for new employment. If the Commission wishes to dispel the notion that community service courses are primarily intended for adult students who want to take random courses for fun and personal enrichment, it could do so through this recommendation. The underlying message would be that the state has an interest in the retraining of the population to meet new economic and employment needs that develop in California, and in updating and improving the skills of professionals remaining in their markets -- for instance, lawyers, doctors, and accountants.

Of course the difficulty of waivers is determining what constitutes "need", and whether financial need is the only element. The state's student financial aid program for graduate students has historically struggled to assign some kind of societal value to the determination of need as a sorting mechanism, because there is not enough state money for all who have financial need. Presumably, similar problems could arise with fee waivers for continuing education students.

Option 4: Recommend that partial state support to be administered by the segments be made available for nonmatriculated students in UC and CSU Extension, based on a percentage of the prior year's enrollment. This would allow the state to underwrite important educational efforts for which there is a marketplace demand but which may not be able to generate sufficient revenues to cover costs.

This option is a variation on Option 3, except that it directs funds to institutional programs rather than to students. The task of monitoring institutional compliance with state guidelines for the use of state funds remains an issue.

APPENDIX A
UC CONTINUING EDUCATION PROGRAMS

University Extension is one of the largest and best known continuing education programs in the United States. Annual Extension enrollments are generally around 350,000 in more than 11,000 courses, lecture series, seminars, conferences and travel study programs throughout California and in various national and international locations.* These figures are more than double those presented in the 1960 Master Plan where enrollment was a little over 165,000 in about 4,800 activities.

Programmatically, UC Extension includes activities offered for degree credit, professional credit, and noncredit. In 1984-85, types of courses and their registration numbers were as follows:

	# of courses	# of enrollments
Degree credit	1249 (11.2%)	31,283 (9.4%)
Professional credit	5763 (52%)	130,452 (39.3%)
Professional and general noncredit	4082 (36.8%)	170,418 (51.3%)

In addition, Extension students have the opportunity to take regular campus courses on a space available basis, a practice called "concurrent enrollment." Nonmatriculated Extension students pay Extension fees for these courses. In 1984-85, there were 11,276 concurrent enrollments in 7,305 regular on-campus degree program courses. Whether or not degree credit courses or concurrent enrollment courses can be transferred into a UC degree program is a decision that is made at the discretion of the campus academic department which offers the degree. In general, UC Extension is viewed by the campus faculties as separate from the degree programs of the University and Extension is specifically prohibited from granting degrees.

UC Extension has been fiscally self-supporting since 1968 when state subsidies where abolished. In fiscal year 1985, University Extension generated a total of $70,106,481 in income across all programs. Approximately 94 percent of this income came from student fees. Program costs account for approximately 66 percent of expenditures, with promotion (14-15%), student services (about 6.5%) and general administration (about 7.5%) being other major expenses. Campus Extension units are assessed a share of the indirect costs that they generate by the presence on the campus. Accounting, payroll, registration, utilities, and security are some of the services for which Extension units are charged. Since Extension is administratively decentralized, the means for assessing Extension for indirect costs varies from campus to campus. Most campus administrations, seeking cost savings in regular state supported operations, have been quick to assess self-supporting programs for a share of state chargebacks as well as support for services provided by the campus itself. The existence of hidden state subsidies for Extension is largely a myth although some campuses have been more severe than others in the amount and definition of chargebacks to Extension.

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*The data reported in this section does not include continuing education at the UC San Francisco medical facility. Extension activities were administratively and fiscally decentralized to the individual schools and academic departments of UCSF, thus no centralized campus data is available.

Summer Sessions have been a permanent self-supporting educational option on the UC campuses since the early days of the University. Since state-supported year-round operation of the campuses has not proved feasible, self-supporting summer sessions have continued to be offered on all UC campuses. Summer sessions were administratively and fiscally decentralized to the campuses in 1973 so that dates, schedules, fees, and course content vary considerably by campus. Summer sessions are usually linked administratively with Extension, however, summer sessions budgets are totally separate from Extension and each campus is responsible for any deficits that are incurred. In 1985, total UC sumeer session enrollment was 39, 308 in 2366 courses. All courses are offered for credit and the overwhelming majority of courses are at the undergraduate level. Most are scheduled during the day.

Although UC summer sessions courses are open to nonmatriculated continuing education students, the campus summer sessions serve primarily the regular academic year student who is using summer session to speed up his/her education, or for remediation. At UC Davis, for example, more than 90 percent of summer session students are regular UC students. At Santa Cruz, only 54 percent are. The systemwide average is 69.6 percent matriculated students in UC summer sessions. Thus, UC summer sessions should be viewed primarily as a means for extending regular educational offerings to students who are already in the system, although one third of the enrollees are not UC students. Some are students on neighboring campuses that lack a summer session. Some are nonmatriculated continuing education students enrolling in special programs.

Summer sessions in UC are fully self-supporting from student tuition. In 1985, total UC summer session revenues were $12,382,910. An administrative director position, plus staff support, is funded from revenues. Campus administrations are reimbursed for all incremental indirect costs that can be identified, such as library, computer, cashier, registrar, custodial, health service, payroll, and accounting services. These costs vary as a percentage of revenue by campus with an overall average of 9.4 percent. In some cases, summer session revenues are shared with regular academic departments thus providing them with additional income over and above the state budget allocation. As a result, summer session students are providing indirect subsidies to regular University programs through their tuition payments in summer session.

Cooperative (Agricultural) Extension is a partnership between the University of California and county, state, and federal agencies designed to apply research findings to agriculture and bring about their uses throughout the state.

Cooperative Extension is one of two major units of UC's Division of Agriculture and Natural Resources. It is the educational arm while the Agricultural Experiment Station is the research arm. Administrative headquarters are located in Berkeley with subject matter specialists on the Berkeley, Davis and Riverside campuses and subject matter advisors stationed in 67 local offices around the state.

The total number of audience contacts for fiscal year 1986, was more than 1.8 million via meetings, conferences, and symposia; publications and newsletters; demonstrations; telephone consultations and field visits; radio and television programs; and newspaper and magazine articles.

In addition, there were about 12,000 families enrolled in the Adult Expanded Food and Nutrition Program during fiscal year 1985, and over 60,000 youths in 4-H clubs.

Unlike University Extension which is self-supporting, Cooperative Extension derives its operating funds from the following four sources:

FY 1985-86

State (University of California)	$33,374,000	62.5%
Federal	10,721,000	20.1
County	8,335,000	15.6
Non-tax	956,000	1.8
Totals:	$53,386,000	100.0

The policy of allocating state funds to support Cooperative (Agricultural) Extension but not University Extension seems to derive from political considerations and historical precedent rather than from an overall state educational policy directed toward the continuing education of adults.

APPENDIX B

California State University Continuing Education Programs

Summer Sessions is the oldest of the CSU self-support continuing education programs, dating back to the days of the normal schools. It originated as a way to provide educational access for in-service teachers. Self supporting summer session courses are offered for degree and residence credit. Programmatic offerings, as well as faculty, for the most part parallel the regular offerings of the campus during the academic year. However, summer sessions are also used to provide continuing education for nonmatriculated students in a manner that is similar to extension. Historically, the majority (averaging more than 60%) of summer session students have been matriculated although the percentage varies by campus. Naturally, on the year-round operation (YRO) campuses there are fewer matriculated students in the self support summer session, however, their number is still significant enough to indicate that self-support summer sessions in CSU, like those of UC, are functioning mainly as a way to extend regular campus programs to students already in the system beyond what the state is willing and able to pay for.

CSU Extension has been in existence for 80 years. It has historically been linked to teacher in-service education and this focus dominated its programs through the 1960s. The Master Plan reports (p.141) that the state colleges at that time enrolled 21,520 students in 650 extension classes primarily in education, history, government, and psychology.

CSU Extension includes travel study, certificate programs, and professional continuing education similar to the UC Extension programs, although on a smaller scale. The extension programs of both segments serve a similar student clientele. However, CSU has traditionally utilized its own faculty for the teaching of extension courses much more fully than has UC, a fact that reflects the greater emphasis on degree credit instruction. Today, extension makes up less than 20 percent of the total FTE enrollment in CSU Extended Education. Concurrent enrollment, a program begun in 1971 through which nonmatriculated continuing education students can take regular campus courses on a space available basis, has grown in the past ten years from 4 percent to 22 percent of Extended Education enrollments (CSU Stat. Digest). Concurrently enrolled students pay Extension tuition fees for these courses because they have not matriculated.

External Degree Programs were begun in CSU in 1972 in response to a call for innovation and change initiated by the Chancellor. External degrees did not exist at the time of the 1960 Master Plan. "Although there is little standardization of terminology relating to these new programs, the term 'external degree program' characteristically refers to degree programs in which all or a major portion of the instruction takes place off the campus and often through modes that are different from those usually associated with the traditional 'internal' degree programs conducted by most colleges and universities. Distinctive traits of these programs tend to include some or all of the following: special scheduling of classes to make attendance convenient for adults with work and family responsibilities (weekend, late afternoons, and evenings), instruction at off-campus locations, independent study, (sometimes coupled with short periods of intensive instruction on campus or at off campus learning centers, use of telephone networks, TV broadcasts, TV links and networks of various kinds, exchange of tape cassettes, etc.), awarding of degree credit by various means of assessing or evaluating competence or knowledge previously acquired at work or in other nonacademic settings, and extensive use (not only in connection with the independent study mentioned above) of electronic and other modern instructional technologies. A frequent feature of external degree programs is the accomodation of the program objectives to the particular needs and interests of special -- often occupational -- categories of students, and even to the unique needs and interests of the individual student" (CSU, External Degree Programs Report to the Chancellor, 1976, p.1). In other words, such programs depart substantially from regular postsecondary practice.

By 1975, 13 CSU campuses had external degree programs enrolling 3,733 students. These programs were self-supporting and administered on a pilot basis under the aegis of CSU Extension. Examples included the BA in Criminal Justice at CSU Sacramento; the MA in Psychology at CSU Sonoma; the BS in Nursing at CSU Bakersfield; and the BA in Public Administration at CSU Chico.

The CSU Consortium was authorized by the Board of Trustees in 1973 for the purpose of providing external degrees for students who were geographically disbursed around the state but who nevertheless formed a definable educational interest group, for example, nurses. The purpose of the Consortium is to involve several campuses in the delivery of an educational program.

The Consortium has had a rocky road within CSU. Without state support, administrative and program development costs have been born by other self-supporting programs, primarily extension and summer sessions -- a policy that has strained campus programs and produced some problems with deficits. However, in spite of the difficulties CSU has maintained external degree and Consortium programs, unlike UC which abolished its experimental external degree programs once it became apparent that permanent state support was not going to be forthcoming.

In 1984-85, Consortium programs enrolled 662 FTE in 11 degree programs involving all of the 19 campuses.

Special Sessions was initiated in 1979 as a policy in CSU for increasing access to degree and residence credit courses on a self support basis. Special Sessions are actually summer sessions that operate at other times of the year rather than just in the summer. Thus, CSU Summer Sessions are often offered in the times between semester or quarter breaks and can also run concurrently with regular degree programs during the academic calendar year. They have a dual function, like summer sessions, of providing matriculated students with additional opportunities for study as well as providing nonmatriculated students with courses that are identical to those offered in the regular degree programs. All special sessions courses require tuition fees regardless of whether the student is matriculated or not.

Special Sessions enrollment has increased from 2.7 percent of CSU continuing education FTE in 1979-80 to 5.7 percent in 1984-85. Actual enrollment in Special Sessions for 1984-85 was 14,400 registrations.

All self support programs in CSU (i.e., Extension, Summer Sessions, Special Sessions, External Degree Programs, and the Consortium) are assessed chargebacks for indirect costs. The systemwide office and the campuses are assessed costs for various state services, either as a special line item in the budget or on the basis of a pre-established formula. Self support programs pay a share of these costs. In addition, self support programs are assessed for their share of indirect costs for campus services (e.g., accounting, registrar, library, etc.). For CSU Extension, this figure is 4 percent of revenues; for Special Sessions, including Summer, the figure ranges from 8-12 percent depending on campus size. Costs of systemwide administration are charged back to the campuses at a rate based on prior years revenues (Office of Extended Education, CSU).

However, not all continuing education programs in CSU are self supporting. Working adult students who matriculate are provided with two additional options: off campus instruction and late afternoon and evening degree programs. Both of these options are part of the regular state support budget.

Off-campus instruction was instituted by CSU in 1974 on an experimental basis as part of the campuses' state-funded, regular programs. Off campus regular degree and residence credit courses had been a standard aspect of "State College" operations from the earliest days of the campuses. Until 1964, CSU campuses operated much like community colleges do today, that is, without linking the geographical location of the instruction to the source of funding. However, by 1964, enrollment pressures, coupled with state space allocation formulas and the desire to consolidate campus operations led to the abandonment of off-campus instruction in CSU. Ten years later, the policy of "taking the course to the student" was reactivated on a small scale subject to explicit policy agreed to by CPEC and the CSU administration. FTE in off campus state supported courses is currently about 1700 and is subject to guidelines set forth in a 1980 CPEC document (Degrees of Diversity, pp.99-102).

Late afternoon and evening degree programs have been a standard part of CSU operation since the early days of the state colleges. They have now been thoroughly integrated into regular campus scheduling. All matriculated students, of any age or circumstances can make use of late afternoon or evening classes. The policy was recommended explicitly in the 1960 Master Plan as a means for achieving state space utilization standards (pp.7-8).

The first "after hours" degree program in the state was begun at what was then San Jose State College in the mid-fifties (Salner, in progress). The most recent survey (conducted in 1974) identified 171 bachelor's and 183 master's degree programs in CSU that could be completed by part-time attendance in the evenings (CSU, External Degree Programs, p.10).

In all cases, nonmatriculated students pay tuition fees for the courses that they take in Extended Education programs. However, in many cases, matriculated students are paying tuition for degree credit courses because these courses are offered on a self support basis by Extension, Summer Sessions, Special Sessions, or the Consortium. Since 1972, CSU system policy has reflected a consistent effort to mainstream adult students into the on-going life of the campuses. However, state support for matriculated students has not always been available.

APPENDIX C

Continuing Education Programs in Independent Colleges and Universities: Four Examples

National University was founded in 1971 and designed for the working adult who must go to school in a different format which includes scheduling flexibility, multiple locations all around the state, up-to-date technology, and minimal emphasis on residential "socialization" activities. National enrolls about 8500 students in degree programs sponsored by eight different schools: Education, Business (the two largest), Aerospace, Arts and Sciences, Technology; Computer and Information Science, Counseling Psychology, and (the smallest) Law. Off-cmapus centers are all linked together in an electronic network to provide support services and library access to students. In addition, National offers noncredit instruction to about 30,000 people per year. Large enrollment noncredit programs have been cardiopulmonary resuscitation, stress management, and Lotus 1-2-3. Information supplied by Robert White, Vice President and General Counsel).

University of San Francisco has its Adult Education Degree Completion Program designed for students who have been out of school for 10-15 years. Undergraduate programs provide for the senior year in the following majors: organizational behavior; applied economics; information systems management; public administration; and general studies. Master's programs of 36 units which can be completed in an 18 month period are available in public administration; human resources and organizational development; health systems leadership, creative writing, and non-profit adminsitration. The programs operate all year round with flexible start times for students. Courses are offered once a week for four hours and include an additional 20 hours of homework. The courses are offered in various locations around the state, primarily population centers such as Fresno, Sacramento, Oakland, and Los Angeles among others. USF also offered special extension type programs of non-degree-credit workshops to approximately 900-1000 students per year. These workshops, which are conducted "in the shade" of UC Berkeley's very large and diverse Extension programs, emphasize values and subjects that are compatible with the Jesuit affiliations of USF. (Information provided by Colin Silverthorne, Dean, College of Professional Studies.)

University of Southern California mainstreams most of its continuing education students who are interested in special degree programs into its regular programs at the departmental level. A special large program is offered by the School of Public Administration which offers both an MPA and a DPA degree at USC's Sacramento center. Current enrollment in the two degree programs is about 190 students. Scheduling is in intensive two to four day conference courses in three-month modules. The School has a full-time faculty and support services in Sacramento in a permanent facility. Most of the students are employees of hospitals and state or county agencies. On the main campus USC has reorganized its continuing education effort so that is is completely integrated into regular operations. Each department is responsible for programs for adult students and coordination is provided by a central administrative office, called the Office of Continuing Studies. A variety of programs are included: certificate programs, and professional continuing education. In 1983, USC had approximately 90,000 enrollments, generating about $35 million in annual revenue in about 2500 programs. These include both credit and noncredit activity, off campus as well as on campus, and special degree and certificate programs. (Information provided by Sherry May, Vice Provost, Continuing Studies and Jeff Chapman, Director, Sacramento Center for Public Administration.)

Chapman College is a small liberal arts college with about 2100 matriculated students enrolled on-campus and 18,000 enrolled nationally and internationally in 51 off-campus centers. Of these centers, 50 percent are on military bases primarily within California. Most of the degree programs are in management and business. Chapman has a non-degree continuing education program offering short courses and workshops. About 40 percent of offerings are in business/management; 25 percent in education for teachers; 5 percent in nursing or other health professions; the remainder is in general interest courses, for example, a three-day workshop entitled "Investing in California and the Pacific Rim." About 2500 students are enrolled in these non-degree programs per year. (Information provided by Arthur Martinez, Associate Vice President for Administration and Continuing Education.)

APPENDIX D

Survey Results: Participation in Continuing Education, by Category of Provider

A 1980 survey (Rose and Graesser, 1981) found that about 42 percent of a random sample of 354 California adults were involved in some form of continuing education during the previous year. Of that group, about 50 percent were enrolled in collegiate programs, but half were in non-collegiate organizations. The following table gives the percentage breakdown of these enrollments:

	Percent
Universities and Colleges	23.4%
Community Colleges	26.9
Specialty Schools	13.8
Employers	11.0
Associations	7.6
Community Organizations	6.9
Secondary School Districts	4.8
Government	2.1
Others	3.4

Examples of "associations" are the Los Angeles Nursing Board; Educators of California; California Society of Certified Public Accountants; and the Trade Association.

Examples of "community organizations" include the Presbyterian Church; San Francisco Community Development Center; GOlden Age Services; YMCA; and YWCA.

Examples of "government" agencies are cities; county recreation and parks departments; and the Air Force.

"Others" include public TV, correspondence courses, and private individuals.

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ISSUE PAPER NO. 15

THE NEW INSTRUCTIONAL TECHNOLOGIES AND POSTSECONDARY EDUCATION IN CALIFORNIA: ENHANCING QUALITY AND EFFECTIVENESS OF LEARNING; EFFECTIVE INTEGRATION; STATEWIDE COORDINATION; AND ACCESS.

This paper establishes a context in which issues regarding new instructional technologies can be identified and resolved. It includes a brief description of the changing technological environment and survey findings regarding the use of instructional technologies by educational institutions, current planning efforts in other states, countries, and in California, and concludes with the identification of state-level issues and public policy options.

Introduction

Higher education's attempts to bring technology to bear on teaching and learning has been at a low level of commitment. However, primarily due to the demands of an environment created by the breakup of AT&T, efforts to address issues regarding new information technologies have increased dramatically in recent years. Each new development, however, creates its own imperative for new policy and, as noted by Frank Norwood, "The members of the educational community have only two choices: they can participate or they can leave the decisions to others. What they cannot do is escape their consequences."

For the purpose of this paper, new instructional technologies are defined to include any electronic means of delivering instruction and storing, retrieving, and communicating information.

Background

In addition to the new technologies such as communications satellites, video discs, interactive cable, and electronic blackboards, there have been new developments that have made some of the older technologies like the telephone, radio, television, and computers more portable, accessible, and affordable. The availability of new distribution modes such as point-to-point microwave, Instructional Television Fixed Services (ITFS), and Satellite-to-cable-networks and the convenience of video and audio cassettes, video discs, and home computers make it much easier for people to communicate and learn. (Moore 1986.)

A recent study undertaken for the Corporation for Public Broadcasting and the National Center for Education Statistics, revealed that during 1984-85 the three major types of technology -- computers, video, and audio -- were available in some form for instructional use by faculty and students in more than 90 percent of the 2,830 colleges and universities surveyed. About one-third of all institutions used video for one-way presentation of instruction to off-campus students, while 32 percent were found to have offered one or more "telecourses"* during 1984-85. Video telecourses were offered by half of all public two-year schools and 44 percent of public four-year schools.

In addition, the Western Interstate Commission for Higher Education (WICHE) has engaged the assistance of 12 persons with expertise in state and system policy development, campus planning, and information technology to produce a guidebook on higher education and state policies for information technologies. The report, to be published in early 1987, will include analyses of the policy areas, exemplary state, system, or campus initiatives, and suggested guidelines for policy development.**

Summary of Planning Efforts in Other Countries, Other States, and in California

(A detailed description is provided in Appendix 1 of this paper.)

Other Countries: France, the United Kingdom, and the Netherlands have developed some national policies that define the role for higher education with respect to technological development. There has been little national planning in countries such as Germany, the United States, and Canada. Planning activities in other countries (notably Japan, Finland, Ireland, and Belgium) fall somewhere inbetween in range of effort. Renewed efforts to introduce information technology in higher education through national planning have been made in many countries (particularly in Europe) fearing that rapidly developing technology, bringing new business and new jobs, may pass them by and settle in more competitive countries that have been willing to plan and invest well in time. This is the real spur to government action in colleges and universities. (CERI/OECD 1986.)

Other States: Current activities in many states include: Community College Telecommunications Consortia; audio teleconferencing; Higher Education Telecommunications Systems; microwave networks; public broadcast television stations and satellite networks (some private, some owned by the states, and others owned by postsecondary institutions); statewide data networks; video systems; interconnected systems that link several states; cable system partnerships between postsecondary institutions with shared responsibility for programming; and one state (Texas) has established rules and regulations regarding the offering of televised instruction by public postsecondary institutions. Long-range planning efforts are described in Appendix 1. (WICHE Survey 1986.)

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*A "telecourse" is an integrated learning system that employs both television and print materials and are used to provide the student with a complete educational unit in his/her own home.

**The Master Plan Commission staff acknowledges the excellent cooperation and assistance provided by the WICHE staff, particularly their willingness to share drafts of various papers that will be utilized in the forthcoming WICHE publication.

California State University: In 1978 the Board of Trustees approved a policy statement that provides a framework for system and campus planning and development in "Instructional Development and Media Services Programs." The policy defines the elements for these programs and also provides for consortial programming and information sharing efforts. Currently, 14 campuses have an operational ITFS system; 11 are involved in cable franchises; all 19 have a closed circuit television network and are involved in a systemwide computer network, electronic mail, facsimile transmission, and telephone systems; 5 have National Public Radio Stations while an additional 9 have either radio operations ranging from an on-campus instructional station to a regular radio operation; one campus operates a Public Broadcast Television Station; 11 campuses have satellite reception equipment and one has its own C band satellite uplink and will soon have a Ku-band uplink as well.

University of California: A University task force was formed in 1984 to consider how computing should fit into the fabric of the University of California. The Task Force concluded that the University's goal should be to make access to computing and the transmission of information nonlimiting to the task of research and instruction. UC is in the process of installing a Universitywide communications network that will be designed and implemented to satisfy the communications needs of both the academic and administrative user communities; a national supercomputer center is operational at UC San Diego; and UC campuses are providing access to computing for faculty and students. Currently, six campuses operate FM educational radio stations, two operate cable radio; four operate ITFS systems, five have television receive only earth stations, and an automated library card catalogue system is accessible from all UC campuses.

California Community Colleges: The majority of California's Community Colleges offer televised instruction to provide additional learning opportunities to students. Community Colleges usually purchase commercially produced instructional materials, but many colleges produce their own. Many Community Colleges are turning to their local cable companies as an alternative to running classes over their local television stations. Peralta and Sierra colleges and districts such as Yosemite, Lassen, San Diego, Santa Ana, and De Anza are using cable as a distribution vehicle. The California Community Colleges currently have three television consortia serving the state with 84 of the 105 colleges participating. A Chancellor's Advisory Committee on Telecommunications was established in 1982, composed of representatives from various Community Colleges across the state and from the Community College consortia.

University of Southern California (Independent): The USC Instructional Television Network began operation in late 1972 and transmits 70 regular USC courses a semester in most of the engineering disciplines and in computer science and mathematics. In 1975, USC began delivering special noncredit courses to industry and a cooperative effort was formalized in 1976 with the establishment of AMCEE (Association for Media-Based Continuing Education for Engineers), a consortium of 33 schools of engineering. USC broadcasts to 40 company sites as well as to 4 remote USC regional locations that are open to employees from any company.

California Public Schools: AB 802 (Katz), Chapter 1133, approved in September 1983, requires the Superintendent of Public Instruction to coordinate all State Department of Education activities relating to computer education. The bill specifically authorizes the Educational Technology Local Assistance Program to award various types of grants for certain specified purposes to school districts, county offices of education, sponsors of regional occupational programs, public postsecondary educational institutions (emphasis added), individual teachers, and teacher education and computer centers meeting the eligibility criteria.

Issue 1: What public policy should the Commission recommend regarding the use of new instructional technologies to enhance the quality and effectiveness of the educational learning process?

Background*

In spite of the extraordinary impact technological innovations have had on American society in general, the educational learning process in the average classroom has changed little since before the invention of moveable type, when the only way a teacher could communicate knowledge was to stand in front of a classroom and read handwritten notes. When Gutenberg began printing books, more than 400 years ago, he made this type of instruction obsolete. Yet, this approach to education is still the dominant mode of classroom instruction.

The great promise of instructional technology is that it offers an opportunity to develop modes of education far different from the current dominant one and, in so doing, make major improvements in the quality and effectiveness of education. Technology might also improve educational efficiency, although there is nothing inherent in its nature that would guarantee these outcomes.

"The perplexing issue is, given the existence of new and highly advanced instructional technologies, why haven't educational institutions been able to make major improvements in traditional educational processes? Why hasn't the mere existence of innovations in communication and instructional technology brought about the same kinds of sweeping changes in the educational process that the invention of the steam engine and its precursor inventions wrought when the Industrial Revolution swept across England, and then much of the rest of the world?" (Hershfeld 1981.)

Issue Elaboration**

As pointed out at an international conference on "Education and New Information Technologies," the state of education in most countries does not look particularly receptive to change. The way in which learning tends to be organized in the typical classroom suggests that making room for the new information technologies will not be easy. Current practice does not allow much autonomy to the learner nor much interaction or individual exploration or discovery. A large scale survey of U.S. schools revealed that "teachers varied in the quality of their lecturing, for example, but 'teacher talk' was by far the dominant classroom activity ... teachers rarely encouraged student-to-student dialogue or provided opportunities for students to work collaboratively in small groups or to plan, set goals, and determine alternative ways of achieving goals ... to the extent that talk requires the organization of thought and can be an important avenue to learning, teachers were doing most of the learning (Goodlad 1983)." Yet, it has been observed in a variety of circumstances, at different levels of schooling and in different learning situations that when learning is computer-based, the learning itself is accelerated. Students have been found to learn more, retain more, or learn the same amount faster using computers (Bracey 1982).

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*Paraphrased from a publication written by Allen Hershfeld (see References).

**In July 1984, a 4-day international conference was held at OECD Headquarters (Organization for European Cooperation and Development). This concluded the first phase of a project conducted by CERI (Center for Educational Research and Innovation) to clarify issues regarding the introduction of new information technologies at all levels of education in OECD member countries.

Many of the same virtues are advanced for computer-based learning by those who have used it. One of the most comprehensive sources of information on the views of the clients is a recent report by the French, "Institut national de Roecherche pedagogique" reviewing a ten-year experiment on computer-based classroom learning (INRP, 1981). Students agreed that the computer computes fast, gives immediate feedback, forces the learner to think and clarify the approach to subject matters, and provides the possibility of individual tutoring.

In addition, Nolan Estes sees the issue as one in which, "the computing and other technology-based competencies needed by educators have not been specified and agreed to by colleges, universities, and public schools...generally, the elementary and secondary schools are leading the colleges and universities in new information technology, particularly in the area of instructional applications." The need to retrain the trainers, if they are in fact to be able to train their own subject area students, becomes acute. (CERI/OECD 1986.)

The notion that public schools are leading colleges and universities in the application of new information technologies is given further support by Richard Jonsen's statement at a recent national conference: "Unlike K-12, where the driver of technology is largely instructional and classroom use, the driver in higher education has been more diffuse and has tended to be research and administrative uses on which instructional uses then get tacked on" (WICHE/ ECS Conference, 1986).

Christopher Knapper points out that "colleges and universities would be foolish to ignore the many potential benefits that instructional technology can bring to the learning process ... it is likely that if educators fail to come to grips with technological advances, instructional technology will be left to those outside the academic world, including those who may well attempt to develop instructional systems according to criteria that are more commercial than educational." (WICHE Drafts 1986.)

The issue is not whether instructional technologies can be expected to influence the quality and effectiveness of learning or the organization and structure of traditional college and university disciplines, but whether further research and experimentation is warranted to ascertain the impact produced, the kind of changes imposed on learning, and the type of learners likely to be affected and in what ways.

Policy Options

Option 1: Recommend that the University of California, in close consultation with the California State University and the State Department of Education, be requested to give high priority in its educational research activities to assessing and evaluating the impact new instructional technologies can have on the learning process at all levels of education, as well as on the organization and structure of the Schools of Education and the traditional college and university disciplines.

Option 2: Recommend that the California State University, in close consultation with the University of California and the State Department of Education, be assigned primary responsiblity for conducting research assessing and evaluating the impact new instructional technologies can have on the learning process at all levels of education, as well as on the organization and structure of the Schools of Education and traditional college and university disciplines.

Since the California State University produces the majority of teachers, it may be argued that, at least in terms of the Schools of Education, it has a primary responsiblity to assure that the most up-to-date, modern means for enhancing the instructional process are being utilized to "train the trainers." CSU has an excellent history (see Appendix 1) of technological integration and implementation of programs utilizing these tools. In addition, CSU is authorized to conduct research related to instruction, but due to limited state funding in this area has not done so to the extent it might (see issue paper on Graduate Education and Research).

Option 3: Make no recommendations regarding research to evaluate the impact new instructional technologies can have on the learning process.

Issue 2: What public policy should the Commission recommend regarding planning and policy efforts to support effective integration of new instructional technologies?

Background

Which comes first, the policy or the technology? This is the question most often asked whenever the subject of instructional technology is introduced. With very few exceptions, educators and policy makers support the notion that the policy should not begin with the subject of technology but rather the ends and values it should serve -- intellectual productivity, more active self-directed learning, life long learning -- it is believed that perspective needs to inform all of our planning efforts; technology is a means and not an end.

The integration of technology first occurred in many states and institutions in the performance of administrative functions where results could be more easily evaluated. Technologies were combined and consolidated through deliberate policy decisions and administrative actions based primarily on cost analysis, increased efficiency, and quality control to address large-scale information processing tasks [while] those responsible for the instructional processes have tended to experiment with information technologies on a small scale with limited budgets, rather than to employ technology on a scale that would require shifting of funds from more traditional instructional processes. (WICHE Drafts 1986.)

Issue Elaboration

In identifying the key issues that affect instructional technology integration, Turner & Gillespie point out that:

> At most institutions there are a number of major organizational activities with slices of the information activity pie -- computer centers (sometimes separately academic and administrative), the library, the telephone systems, closed circuit and/or broadcast television, printing and reproduction services -- each usually having different ground rules (academic computing frequently charges for services, libraries and administrative computing do not) and are usually widely separated organizationally (some report to the Vice President for Business and Finance and some to the provost or Vice President for Academic Affairs) ... each of these organizations has a different view of the pace and direction of information technology integration and turf is not a minor issue -- who should control the campus network for communication? Which functions should provide the funding? Who should make the key design decisions? Who should set standards? -- Thus, the separate systems that have emerged for the delivery of information on campus need to be viewed as related elements of a total system. The separate networks need to be connected (perhaps) replaced by an interconnected web allowing free movement of information. (WICHE Drafts 1986.)

It is important to keep in mind that the key issues identified above, by and large, depict the organizational activities or structure of a single institution or campus. When you extend that to multi-campus systems or across systems the necessity for policy planning and integration becomes even more acute.

The Role of Faculty

The role of scholar/mentor embodied in the faculty has not changed much from the medieval universities. The faculty are expected to be experts, to both create new knowledge through research and pass on the accumulated knowledge of their disciplines through teaching. In a sense, the faculty member is the curriculum. The information revolution demands a redefinition of these roles by restructuring the world of work and by increasing the dramatic power of communication technologies to organize and deliver information faster and more comprehensively than any one scholar can hope to manage. The role of faculty today is also shaped by an important external factor -- the diminishing number of traditionally-aged students coming to the classroom and the increase in adult learners who want and need continuing education in more accessible, flexible formats than the campus classroom. (WICHE Drafts 1986.)

Commenting on the potential of technology for increasing productivity, LeCiorre and Schwartz point out, "The rapidly advancing electronic technology of information processing and display offers many potential advantages to the educator. Most fundamentally, it may allow the steady rise of educational costs to be moderated, through partial replacement of the artisan-like work of teachers labouring in individual classrooms to a more highly profitable system able to make effective use of powerful tools. Failure to deal successfully with the issue of productivity in education must inevitably lead directly to reduction in the real income of teachers, followed by declining student achievement and lagging economic growth. Computer technologies can improve productivity in education." (CERI/OECD 1986.)

Successful planning and policy development for technological integration depends on the active participation of faculty members. However, faculty are reluctant to participate in the absence of comprehensive, faculty-approved policies and procedures outlining the conditions of their involvement and without prior resolution of other issues regarding funding, accreditation, quality control, transfer, collegiality and nonacademic staff roles, and assignment of space (telecommunications vs. physical). Other factors of concern to faculty are academic freedom, fear of replacement, the right to and control of intellectual property, and their particular disciplines. (WICHE Drafts 1986.)

The role of the faculty as "expert" also needs to be clarified in mediated instruction. The faculty member could strive for "master teacher" performance qualities or act as content expert and script writer/editor whose wisdom is translated into an acceptable format by directors and producers. (WICHE Drafts 1986.)

The Role of Students

The students of the 1980s and 1990s represent the Sesame Street generation that mastered video games and other forms of technology, including personal computers, on a scale of proficiency that equals (and sometimes surpasses) that of many of their instructors. It thus becomes imperative for university faculty, administrators, and policy makers to recognize the technological literacy of their students and to create the contemporary learning environments necessary for the success of students preparing for the 21st century. The students of today and tomorrow will enter college with an ever increasing willingness to use information technologies in the instructional process as a matter of routine. Students represent a powerful force with a legitimate role to play in policy development. (WICHE Drafts 1986.)

Regardless of the designation used (i.e., minority, adult learner, distant learner, special populations, older, nontraditional, traditional, etc.), a student by any other name is still a student. The real differences are in their individual needs, interests, motivations, and abilities, which can vary dramatically even within the same age or population groups. How can any institution, educational or otherwise, be expected to meet the needs and demands of such a diverse clientele?

A key word that might provide a partial answer is "diverse." As noted by Professor Trow in an earlier presentation to the Master Plan Commission, "the genius of the 1960 Master Plan was that it provided a way of defending 'institutional diversity' -- it's difficult to predict or anticipate student numbers, the mix or demand for courses, or developments in the economy -- the most effective response to uncertainty is diversity."

The connection between that statement and the role of instructional technologies is important -- some would assert that no better mechanism currently exists for providing the kind of diversity that will enable governing boards and policy makers alike to meet not only the needs of their institutions and faculty, but the needs of their communities.

Policy Options

Option 1: Recommend that institutional governing boards require the development of systemwide policies, in consultation with faculty senates and students, for the effective integration of the new instructional technologies on their respective campuses. Such policies should focus on the development of an infrastructure linking a complex system of hardware, software, and electronic signals with a complex system of people, to support their fundamental missions.

Examples of what an infrastructure should include are:

- Integrated campus systems that enhance the delivery of information and instruction within the campus;
- Interconnected networks that allow free movement of information between campuses, the sharing of resources, the elimination of unnecessary duplication, and the support of instructional activities both on and off campus;
- Central administration support;
- Faculty approved policies and procedures outlining their roles and the conditions of their involvement;
- Policies outlining the roles of technicians and other support staff;
- Policies and procedures that include an appropriate role for students;

- Quality control mechanisms;
- Identification of funding sources and priorities;
- Transfer policies.

Proponents would agree that policies endorsed by the Governing Boards would establish the framework for development of information technologies and that, strategically, the development of an infrastructure should occur in advance of programmatic consensus; support from the central administration is also essential to the successful application of new information technologies -- without policy endorsement, the institutions of the systems will have a very difficult time in making decisions regarding how best to proceed.

On the other hand, opponents would argue that such policy development should be left to the discretion of the individual institutions or campuses to determine what best fits their needs and priorities in meeting institutional missions. Others might argue that their institutions are already moving in the direction of technological integration within their own systems and there is no need for policy endorsement or involvement at the state level.

Option 2: Recommend that the institutional governing boards encourage their respective institutions to consider the use of new instructional technologies, where feasible, to support their respective missions.

Proponents would argue that this option would permit the institutions to make their own decisions regarding the use of technology in meeting educational needs. Although this option might be interpreted as a "status quo" recommendation, it does have the advantage of allowing the Master Plan for Higher Education to, at a minimum, acknowledge the importance of the new information technologies to instructional applications.

Opponents would argue that, in reality, this option would have the same effect of "making no recommendation" and would probably result in future criticisms that the Master Plan for Higher Education ignored the potential influence that new information technologies could have on the educational process by the year 2000 and beyond, particularly with respect to their potential for cost containment and the elimination of duplication.

Option 3: Make no recommendation regarding planning and policy efforts for the integration of new instructional technologies.

Issue 3: What public policy should the Commission recommend regarding statewide coordination or governance structures for new information technologies?

Background

The primary focus of this issue paper is on the "instructional" applications of new information technologies within postsecondary education. However, the findings of a study conducted by the Commission on State Government Organization and Economy (Little Hoover Commission) in April 1985, although primarily focusing on telephone and voice systems, has significant implications for postsecondary education. The study examined the organization and management of statewide telecommunications in California. Its findings are summarized as follows:

- "The State of California is not contemporary with major corporations and other states in its management of its own telecommunications systems (in that) the state has not yet developed the organization and management system necessary to actively manage this quarter of a billion dollar asset. As a result, the state is missing an opportunity to offset rising telecommunications expenditures and costs by at least 50 million dollars annually (a conservative estimate).
- California...has made virtually no progress towards refining its strategic plan; assessing its telecommunications needs, developing a tactical plan, or establishing basic management systems...and the development of methods for taking complete advantage of the competitive market place. As a consequence, the state is missing productivity gains that have become literally commonplace in the private sector.

The study further notes that "the state has reacted to the growing use of telecommunications technology by establishing approval processes rather than planning processes. Control agency approval by either the Department of Finance or the Department of General Services, or both, must be obtained by a user wishing to introduce new technologies. However, anticipatory analysis of alternatives -- planning -- has yet to be required. Instead, users must wind their way through a complex, ill-defined review process."

The organization of state telecommunications is complex and provides overlapping functions. According to the report, there are four levels, each with its own principal mission: (1) The Department of General Services, Office of Telecommunications [OT/DGS]; (2) The Department of Finance, Office of Information Technology [OIT/DOF]; (3) Teale Data Center and the Health and Welfare Data Center; (4) State departments, agencies, boards, commissions, and the postsecondary education systems of the University of California and the California State University.

The study makes no reference to the Community Colleges, the Board of Governors, or the public high schools.

Issue Elaboration

As pointed out earlier in this paper (and in the Appendix), the activities of the California State University with respect to new information technologies is already quite extensive with significant plans for future growth and development. Although the current focus on activities within the California Community Colleges is primarily in the offering of telecourses, plans for future integration of the more advanced information technologies are extensive as well. The summary of activities of the University of Southern California also notes extensive plans for the future, as does the plan recently approved by the State Board of Education.

The findings of the Little Hoover Commission, coupled with growing concerns about cost containment and the Governor's expressed interest in the setting of priorities within education (K-12 through graduate school) will make it even more imperative for the educational systems to cooperate and to develop techniques that demonstrate innovation, flexibility, and responsiveness to the needs of the population through "cost effective" methods that would extend services, while at the same time provide for statewide coordination and consolidation of resources, human and fiscal, and the elimination of unnecessary duplication.

Policy Options

Option 1: Recommend that the Governor and Legislature establish a Joint Board comprised of representatives from the California State University, the University of California, the Community College Chancellor's Office, the State Department of Education, the California Postsecondary Education Commission, and independent colleges and universities, with the primary purpose and authority for assuring statewide coordination in the development and/or expansion of new information technologies and networks designed to meet instructional/institutional needs across the state, in accordance with their respective roles and missions. The Joint Board's membership should include representatives from the statewide academic senates and statewide student associations.

Examples of the type of responsibilities the Joint Board should be given at a minimum are:

- Periodic review of existing systems and identification of opportunities for cooperation and coordination, with a particular focus on resource sharing and cost containment;
- Review of all new proposals for the establishment or expansion of new information technology systems or networks;
- Provide advice and recommendations to the Governor or Legislature on major issues concerning new information technologies;
- Provide for an annual report summarizing the uses of new information technologies and plans for the future.

Although focusing primarily on voice and data systems, the following statement could easily be applied to the entire spectrum of new information technologies and would seem to support the intent of this option:

> "In planning telecommunications, it is in institutional interests of both cost and service to examine the potential for cooperation and shared use between institutions...

> Uncoordinated telecommunications planning between contiguous public institutions, within segments and among segments is costly... Throughout California, telecommunication systems have been constructed that parallel one another, each underutilized, each serving the same regions of the state, and each ultimately drawing State General Funds. Given the breadth and size of California's public sector as well as the similar stage of its current telecommunications systems and their comparable distance from state-of-the-art service, a significant opportunity exists for equally advantageous collaboration." (Center for Communications, San Diego State University; 1983).

Although there are some cooperative efforts between postsecondary institutions in the use of new information technologies and in outreach to public schools (CSU in particular), those efforts vary substantially by region or district across the state. In addition, some public school districts are involved in their own efforts to help high school students meet college and university entrance requirements and to provide professional development programs through the use of new information technologies. One example is the Lake County School District, whose superintendent has contracted with a private educational communications network based in San Antonio, Texas (see Appendix 1).

On the other hand, opponents would argue that any type of state-level involvement in institutional activities could lead to the stifling of institutional creativity and innovation, particularly if it led to the establishment of very prescriptive rules and regulations. Further, they would argue that the prerogative should remain within individual institutions and organizations to chart their course as they deem most appropriate in fulfilling their fundamental missions.

Option 2: Recommend that the Governor and Legislature establish a statewide Joint Board similar to the one identified under Option 1, but expanded to include representation from other state agencies and appropriate private sector representatives, with sole responsibility and authority for statewide coordination of the state's voice and data systems.

The intent of this option would be to ensure the development of statewide voice and data networks that either complement or can be integrated with other systems and networks. In addition, it might enable the educational systems to take a leadership role in this area by providing access to their existing networks, perhaps through contractual arrangements with other state organizations, that could result in cost-savings to the user and additional income to the networks utilized. This would necessitate the development of a "strategic plan" defining the areas of responsibility, roles of the various agencies and organizations, mechanisms for exceptions, and mechansims to resolve concerns likely to be raised regarding "free enterprise"

Option 3: Make no recommendations regarding statewide coordination of activities pertaining to the use of new information technologies.

Issue 4: What public policy should the Commission recommend regarding the role of new instructional technologies in providing broader access to educational opportunities?

Background

As noted in Background Ppaer #2, California has undergone many changes since the 1960 Master Plan. Not only are there many more Californians, but the composition of the population has changed dramatically. Several of the most important changes in the demography of the state are likely to continue through the remainder of this century -- and continue to have a substantial impact upon the extent and character of the demand for postsecondary education in California. In particular, the growth of the "older student" population will have policy implications for increasing continuing education programs, retraining and leisure-related general education. Other likely demands may be for more short term courses on a part-time basis, in the evening and on weekends and in nontraditional, off-campus locations. Existing programs may have to be redefined and restructured in order to maximize institutional activities and facilities that can be used by these students. (Draft Background Papers, September 1986.)

Issue Elaboration

As pointed out by a number of observers, the whole idea of measuring demand for educational services is a very imprecise process at best and systematic measurement seems to occur in no states...both educational institutions and states have generally been more reactive or passive. Most often what happens is that those groups of learners who are well organized (usually those are the professionals) are able to express their interests to educators and politicians, whereas those people who are unorganized (rural learners, people in prisons, handicapped, non-English speaking, young mothers, and more recently in terms of the economic crisis, blue collar or industrial workers who have previously not considered themselves part of higher education) have no easy way to make their interests known. (WICHE/ECS National Conference, 1986.)

One example of the value of a needs assessment is the experience of the "Learn Alaska" system, which (some assert) got into trouble with the Legislature because the video programming they were offering did not match the needs and interests of the Eskimo and Native American populations in their state.

Policy Options

The Master Plan Commission has already addressed the issue of nontraditional students in its review of the Retention Issue Paper (#5), which pointed out that:

"Response to the needs of a changing student clientele might include extended classroom or administrative hours, alternative counseling or support service operations, or reorganization of some campus functions. There are other possible alternatives including increased telecommunications services."

The Commission focused on Option 2: Recommend that the Board of Trustees of the California State University and the Regents of the University of California determine whether the needs of older, part-time, and other nontraditional students are being met by their respective institutions and, if they are not, establish such programs and support services as deemed necessary or appropriate within the context of each institution or campus. (Master Plan Commission Agenda, Issue Paper #5, Issue 3, Option 2; December 1986.)

Option 1: Recommend that the above option be expanded to require that consideration be given to the use of new instructional technologies in the establishment of such programs and support services, particularly in light of potential cost savings.

A 1981 CPEC report pointed out that:

- Formal learning at several different levels above the twelfth grade is occurring in California beyond campus, often beyond classrooms, with the help of electronic instructional media. Surveys have shown overwhelming acceptance by those who utilize these modes of remote instruction. Much of this mediated instruction is demonstrably economical. This is clear and unequivocal. From a statewide perspective, however, mediated instruction is not yet evenly or equitably available to all Californians. There are great differences by geographic region; there also are differences in availability according to the level or type of instructional need... Yet California has most of the needed hardware and talent with which it could fashion an equitable system of instructional help for those who cannot commute regularly to classrooms. (Linking Californians for Learning, CPEC, 1981, Appendix A.)

However, the CPEC report also points out that:

- Public colleges/universities are generally reimbursed on the basis of enrollments and/or attendance through a portion of their course, not for completing it or mastering its content. There is no economic reward for efficiency. Budget formulas for state support to postsecondary education, on the other hand, could be devised to provide incentives for educators to find the most expeditious ways for students to achieve learning objectives, including the use of various electronic media for those beyond the campus. Such incentives do not now exist.

The Master Plan Commission has already addressed the issue of budgeting and appropriating state support for public postsecondary education in its issue paper on Budgeting (#7). One of the options the Commission focused on was:

> Recommend that the California Postsecondary Education Commission in consultation with the three public segments, the Department of Finance, and the Legislative Analyst, review current budget formula and guidelines to eliminate differences in cost standards that are not justifiable according to differences in role and mission.

The text pointed out that...a thorough reexamination of the funding formulas and processes that have evolved over the years should provide an opportunity to eliminate those inequities that have arisen...all parties should also take this opportunity to minimize existing differences in cost accounting and budget expenditure categories. (Master Plan Commission Agenda, Issue Paper #7, Issue 1, Option 2; December 1986.)

Option 2: Recommend that the above option be expanded to include a provision for addressing possible inequities in budget formulas pertaining to instruction offered via the new instructional technologies.

Option 3: Make no further recommendations.

APPENDIX 1

Planning Efforts in Other Countries*

National situations vis-a-vis higher education fall into three broad categories reflecting the degree of central planning exercised by governments. At one end, France, the United Kingdom, and the Netherlands, under the impact of economic and manpower pressures, developed some national policies that define the role for higher education with respect to their own "technological" development as well as for the entire educational systems. In contrast, there has been little national planning regarding higher education and new information technologies in countries such as Germany, the United States, and Canada. This is in large part due to the federal structure of these countries and the traditionally small role played by their national governments in the development and functioning of their higher education systems.

National planning activities in other countries, notably Japan, Ireland, Finland, and Belgium, fall somewhere inbetween in range of effort. The impetus in these countries is usually a mixture of forces - economic, manpower needs, desires for regional development and, to a limited extent, plans to improve the educational system as a whole. Most have developed at least some plans or established national committees and advisory groups to consider the problem and make recommendations to their governments for future development.

In Japan, for example, a Ministry of Education, Science and Culture (Monbu-Sho) advisory committee has recently reported on the merits of information and communication technologies for education, information network systems and the problem of media literacy, including computer literacy. Several study and work groups have been appointed by the Finish Ministry of Education. One has been examining the potential of Computer-Assisted Instruction in higher education. Another considered the use of computers in university-level education. The Ministry has also prepared a plan concerning the development of automated data-processing training in higher education. In Ireland, the Higher Education Authority's Advisory Group on Computer Services has recommended the formulation of a five-year plan for computer development and the establishment of integrated systems and networking between colleges. In some cases the planning efforts have been followed by actual funding for equipment or programs. This has generally occurred in countries with strong policy efforts, such as the United Kingdom and France.

However, renewed efforts to introduce information technology in higher education through national planning have been made in many countries, particularly in Europe, as governments move to catch up with events. As with schools, they are being pressured into action by industrial and marketing considerations, fearing that rapidly developing technology, bringing new business and new jobs, may pass them by and settle in more competitive countries that have been willing to plan and invest well in time. Indeed the broader problem of economic development in this period of high technology growth is the real spur to government action in colleges and universities. Even countries with no significant national programs have made a choice. As one expert has pointed out, "Deliberate absence of policy is itself a policy."

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*CERI/OECD 1986

Planning Efforts in Other States*

Most states are at an early stage of planning (if at all) for the integration of technology into higher education. The following paragraphs summarize the current and long-term activities of various states with respect to the new information technologies.

Oregon -- Oregon Community College Telecommunications Consortium (offers video telecourses). Long-Term: EDNET Planning Group to establish an Oregon Higher Education Telecommunications Network that will be cooperatively operated between the community colleges, four-year public and private colleges and universities, and industries; Integrated Communications Network Project; Industry/Postsecondary Education Partnership for Faculty Development.

Montana -- Audio Teleconferencing Network operated by Eastern Montana College was terminated, however, the system is now used for state administrative meetings and occasional instruction. Long-Term: Telecommunications Policy Advisory Council; State Task Force on Extended Education.

Washington -- Washington Higher Education Telecommunications System; (delivers instruction among educational, industry and community sites on the system). Long-Term: Development of a Statewide Plan for Telecommunications.

Utah -- Microwave Network (provides continuing education); Broadcast Television; Satellite Network (pilot program which delivers Spanish classes to 24 high schools); Audio Teleconferencing Services. Long-Term: State Telecommunications Cooperative; Utah State University is the lead institution for the Intermountain Community Learning and Information Services project which links higher education, public libraries and telecommunications to deliver educational services; High School/College Video Course Pilot Project.

Alaska -- The formal organizational unit called the "Learn Alaska Network" was recently zeroed-out by the state legislature and its activities shifted to other entities. Responsiblity for the instructional television component has shifted to Anchorage Community College. Long-Term: The University of Alaska is in the process of a major reorganization and "Learn Alaska" is unlikely to be revived in its original form.

Idaho -- No statewide telecommunications systems are used to deliver instruction. Long-Term: Statewide Telecommunications Advisory Committee of the State Board of Education (to explore collaborative use of telecommunications on statewide basis); Collaborative Pilot Project - Boise State

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*WICHE/Lewis 1986

University (deliver advanced mathematics to high schools and graduate level professional development).

Nevada -- University of Nevada Computing System (statewide data network); Narrowband Microwave System. Long-Term: Statewide Educational Telecommunications Task Force (represents all university campuses in the state and K-12, state economic development agency, and industry).

North Dakota -- Higher Educational Computing Network (links educational institutions into state government's central data network); Prairie Public Television; State Telephone and Data Service. Long-Term: Governor's Task Force on Statewide Telecommunications (representing all major state agencies).

Wyoming -- Telephone Network; Microwave Network; Video Systems (run by the community colleges). Long-Term: Communications Master Plan Project; The University of Wyoming and Colorado State University have agreed to establish a microwave link between their institutions for high speed data transmission and possibly video.

Colorado -- Public Broadcasting Instructional Programming; State Emergency Network. Long-Term: Telecommunications Study; University of Colorado System developing ITFS interconnect; Colorado State University (headquarters for the National Technological University and as such owns its own satellite uplink); Continuing Education Collaboration (Colorado State University, University of Northern Colorado, Colorado University, and Metropolitan State College).

Eastern Educational Network (a microwave interconnecting system linking public television stations from Maine to Delaware).

South Carolina Educational Television System (possibly the largest instructional television system in the nation, including programs for middle and secondary public schools, professional and continuing education in the state's higher education institutions, medical education, law enforcement training, and other continuing and professional education fields).

Massachusetts -- An educational telecommunications network has been proposed having the potential for widespread, economical distribution of education and information.

Indiana Higher Education Telecommunications System (serving member institutions throughout the state). Long-Term: The Indiana Statewide Telecommunications Project (to develop a plan for a statewide telecommunications network).

Kentucky Educational Television -- offers primarily K-12 instructional programming with some higher education, adult basic education and general educational programs; working in conjunction with the Kentucky Telecommunications Consortium, offerings also include continuing education of various professional groups.

PENNARAMA represents a partnership between Pennsylvania State University and individual cable systems in the state, designed for Pennsylvanians who are pursuing degrees, occupational qualifications, or avocational interests on a part-time basis.

In Texas, the Association for Higher Education of North Texas was incorporated in 1980 by merger of the Association for Graduate Education and Research of North Texas and the Interuniversity Council. In addition, in January 1985, the Coordinating Board, Texas College and University System adopted rules and regulations to cover the offering of televised instruction by public institutions of higher education.

In Wisconsin, the University of Wisconsin System developed a plan, "Strategies for Information Processing," that was subsequently approved by its Board of Regents in July 1985. The plan is designed to help institution and system administrators and faculty develop a framework for discussions about acquisition, design, configuration, use, and maintenance of information processing systems.

Planning Efforts in California

The California State University:*

A policy statement was approved by the Board of Trustees in September 1978, and provided a framework for system and campus planning and development in "Instructional Development and Media Services Programs." The policy defines the elements for these programs and provides for consortial programming and information sharing efforts. At the system level, leadership and coordinative responsibilities are assigned to the Chancellor's Office and an Instructional Development and Media Services Advisory Committee composed of faculty, students, campus media staff, campus academic administrators, and Chancellor's staff. The policy also requires each campus to prepare a long-range plan.

CSU Chico operates one of the largest closed circuit educational television networks in the nation and provides educational programs throughout 33,000 square miles of northern California. Degrees have been earned by distant learners in Computer Science, the Social Sciences, Education, Business, and the Liberal Arts and Sciences; partnerships have been established between public schools, community colleges, the University of California, and business and industry in northern California. In addition, Chico provides personnel at the U.S. Naval Weapons Center at China Lake with both the Bachelors and Masters degrees in computer science and, in partnership with the Hewlett Packard Company, delivers, by satellite, computer science courses at ten Hewlett Packard plants in California, Colorado, Idaho, Oregon, and Washington.

CSU Sacramento has acted as the Northern Conversion Center for data communications for many years and also has its own statewide PLATO data network, which is being merged into the North Central Network on a cost recovery basis.

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*Taken from various documents provided by CSU Chancellor's Office.

CSU Stanislaus, since fall 1981, has transmitted regular on-campus courses to off-campus sites in a live, interactive mode to remotely located students. Today, Stanislaus transmits approximately 100 courses each year in five central California counties, as part of the Stanislaus Television System.

San Diego State University, operates a Public Broadcast Television Station, has access to an uplink, and other plans are underway. BESTNET, a program initiated by the Imperial Valley campus of San Diego State University, reflects a unique consortial relationship involving institutions on both sides of the Mexican border; the University of California, Irvine is involved with this project. (A more detailed description of this program is provided below.)

CALNET, the Los Angeles Basin Instructional Television Fixed Service Network, involves five CSU campuses (Dominguez Hills, Los Angeles, Long Beach, Pomona, and Fullerton). Although still in the developmental stage, the opportunities are unlimited for the provision of educational programming to a rather densely populated region.

Future Plans: Sacramento -- Establishment of a T-1 Network connecting 11 campuses to upgrade existing capabilities and to provide an ATSS like capability linking all campuses via the network; Stanislaus -- Aided with funds from the National Telecommunications and Information Administration (NTIA), a broadband microwave system is nearing fruition that will connect Chico, Sacramento, Stanislaus, and Fresno along with a public broadcast station in Fresno; Los Angeles Basin -- a linkage with a private firm enables all of the five CALNET campuses to have access to a satellite uplink. The importance of this connection is that is enables CSU campuses in the Los Angeles Basin to have access to a window on not only the State of California, but also the Pacific Rim and other parts of the nation and the world.

Systemwide Network involving satellite technology: CSU anticipates having operational (by June) a satellite uplink and downlinks on all campuses with an additional 25 downlinks at public school locations throughout the state. A demonstration project will focus attention on public school education, providing an opportunity to deliver instruction to advanced high school students, inservice education for teachers, math and science education refresher and upgrading, administrative development and a variety of other options. This phase of the network will see the uplink located in association with the Central Valley Microwave Network. CSU believes that with its cooperative arrangements with the public schools and the State Department of Education the network will help facilitate needed reforms in education at all levels.

BESTNET (Binational English and Spanish Telecommunications Network), started in September 1985, represents a consortium of educational institutions on both sides of the U.S.-Mexican border which produces video and video/computer interactive telecourses. Located on the Imperial Valley Campus of SDSU, the primary purpose of the project is to produce programs which can be used to improve instruction in math and science to the Spanish-speaking population in the United States, but the resulting telecourses represent, to the Mexican institutions involved in their development, an opportunity to enhance their own entry-level science and math curricula. In addition, the BESTNET agenda includes production of courses directed at specific professional groups in the United States who frequently deal with Spanish-speaking clients. (Due to the scarcity of qualified bilingual faculty in U.S. institutions, many of the project's faculty are recruited from Mexican institutions.)

BESTNET also supports a consortium relationship between the College of Medicine and the School of Social Sciences at UC Irvine and the Centra de Estudios Universitarios at Xochicalco.

BESTNET is now making preparations for the expansion of its computer conferencing capabilities as well. An on-line Spanish and English translation service is planned to facilitate communication between scholars and academic institutions in Mexico and other Latin American countries with those in the United States. In addition, BESTNET's potential translation and teleconferencing programs could be of considerable use to researchers in many disciplines on both sides of the border.

University of California:*

A University task force was formed in 1984 to consider how computing should fit into the fabric of the University of California. After surveying the campuses and after considerable deliberation, the Task Force concluded that, just as libraries are today a significant measure of the stature of a university, in the future, universities will be ranked to a large extent according to their facilities for computing and data communications and their ability to use that technology. Therefore, the University's goal should be to make access to computing and the transmission of information nonlimiting to the task of research and instruction.

Current computing and communications activities at the Universtiy of California include:

> UC is in the process of installing a Universitywide communications network interconnecting the nine University campuses, the Office of the President, the three physically separate medical centers, the three major national laboratories, and the Lick Observatory. The network will be high capacity, multi-functional and designed and implemented to satisfy the communications needs of both the academic and administrative user communities.
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> A national supercomputer center, funded by the National Science Foundation, is operational at UC San Diego. This center will help University researchers in many fields.
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> UC campuses are providing access to computing for faculty and students through central computer facilities, departmental computers, public access terminal rooms and microcomputer laboratories. A series of surveys are currently being conducted to measure the type and extent of student computer utilization that actually takes place at the University.

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*Information provided by UC President's Office.

UC campuses at Berkeley, Davis, Irvine, Riverside, Santa Barbara, and Santa Cruz operate FM educational radio stations. The Los Angeles and San Diego campuses operate carrier current cable radio.

UC campuses at Berkeley, Davis, San Francisco, and Santa Barbara are operating Instructional Television Fixed Service (ITFS) systems with engineering, liberal arts classes and medical grand rounds.

UC produces a one-hour public affairs video program which is broadcast weekly via cable TV and ITFS to sixty-six communities in California.

UC Berkeley is narrowcasting videoconferences between the campus and community colleges within thirty miles to link guidance counselors via ITFS with on-campus speakers discussing preparing students for entry to the University of Californa for their junior year.

The Universitywide committee, formed to advise the University's administration on policies for optimizing instructional and research use of video communications systems, conducted a videoconference to test the technicalities and logistics of videoconferencing and to see how people interact in the videoconference environment.

UC San Diego conducted videoconferences with Moscow on children's literature and on the anniversary of the end of World War II.

UC Irvine interconnects with Irvine K-12 schools and two channels of the local cable TV systems for teacher training, student observation and accessing national videoconferences.

UC Berkeley, Davis, Los Angeles, San Diego, and Santa Barbara have television receive only (TVRO) earth stations installed on campus which receive C-band video programs.

UC San Diego's local area network connects all classrooms which have video monitors or large screen projectors so that video programs can be displayed simultaneously in several rooms from the central video room.

UC Santa Barbara is the local cable TV system's educational headend.

The automated card catalogue developed by the University's Division of Library Automation is accessible from all University of California campuses.

The Office of the President is collaborating with the California State Library to research the use of broadcast radio ("packet radio") techniques for digital telecommunications.

California Community Colleges:

The majority of California Community Colleges offer televised instruction to provide additional learning opportunities to students. Community Colleges usually purchase commercially produced instructional materials, but many colleges produce their own. Coastline Community College is one of the nation's largest producers of televised instructional materials, has no centralized campus, and utilizes educational centers, civic libraries, and community centers throughout the district as classroom sites; industrial sites serve as classrooms and telecourse learning centers before and after working hours and during lunch hours.

Many Community Colleges are turning to local cable companies as an alternative to local television stations. Peralta uses cable companies to distribute courses to distant learners, utilizing ITFS to distribute their material to the cable "head-end". Thus, the companies have no related cost and the district can distribute materials simultaneously to all involved. Other districts such as Yosemite, Lassen, San Diego, Santa Anna, and De Anza are using cable as a distribution vehicle. Sierra College also recently began offering some courses on cable television.

Since 1978, a number of colleges have received grant funds to conduct special projects for improving instruction. Examples of how some Community Colleges use technology to enhance and extend instruction include:

> The Telelecture Instructional System developed at Cosumnes River College, designed to provide instruction to students in off-campus sites by means of an electronic blackboard and a telephone conferencing system. This process was designed to provide a cost-effective educational delivery system which would offer learning opportunities to persons who may be incarcerated, physically limited, geographically isolated, or otherwise prohibited from attending classes on campus. Algebra and accounting courses were selected for presentation through this delivery system.
>
> To assess the impact of the equipment on the quality of instruction, students on and off campus were asked to respond to a survey on the first day and during the last week of instruction. For both the algebra and accounting classes, the average mid-term and final grades were higher for off-campus students than for those on-campus. Off-campus students did not show any greater mathematics anxiety than did campus students. Thus, the equipment did not substantially hinder student performance nor did it require major modifications in teaching styles and methods.
>
> In another project, Shasta Community College developed audiotaped instructional units for general education courses. These programs were to be used in the off-campus centers of a sparsely populated mountainous area to serve students unable to attend on-campus classes. Through the project, seven outreach centers were identified as focal points where students would come to receive and return tapes and materials for their courses. The courses were developed to meet the need for instructional programs for independent study and provide a cost-effecient delivery system using individualized instructional techniques. The courses were self-paced and equivalent to semester length programs.
>
> The evaluation of the project revealed that it produced an efficient delivery system of education to students in remote areas who otherwise

would not have been able to obtain such education. The project resulted in the development of educational courses on audiocassettes complete with a coordinated textbook and syllabus. The courses included economics, environmental conservation, philosophy, sociology, and history. (Telecom, Quarterly Newsletter, September 1986).

The California Community Colleges currently have three (originally five) television consortia. These consortia serve the state with 84 of the 105 colleges participating.

- The Southern California Consortium for Community College Television, established by the Los Angeles District in 1970, and joined in 1980 with the San Diego Television Consortium to form the southern consortium.
- The Northern California Telecommunications Consortium, established in 1969 as the Television Consortium of the Valley Colleges, was joined in 1984 with the Central Valley Television Consortium (Fresno and West Hills) and simultaneously renamed. The NCTC is a member of the American Association of Community and Junior College Instructional Telecommunications Consortium, which helps consortia throughout the country network ideas, data, and resources.
- Bay Area Community College Television Consortium, established in 1973.

A Chancellor's Advisory Committee on Telecommunications was established in 1982. Its membership consists of 14 representatives from various Community Colleges and from the Community College Consortia. The committee was charged with the identification and clarification of policy issues concerning the use of telecommunications within the Community Colleges, assisting in the development and design of a statewide interconnect system, monitoring current legislation relating to telecommunications, suggesting needed legislation, planning for coordination with the other postsecondary segments and with cable-operators, and advising the Chancellor's Office and the Board of Governors on all matters concerning the use of telecommunications in the instructional program. The Advisory Committee developed a set of guidelines for use with educational telecommunications courses that were supported by the Statewide Academic Senate and approved by the Board of Governors in July 1985. The Advisory Committee also assisted in the development of a statewide conference on telecommunications, conducted by the Chancellor's Office in October 1985.

University of Southern California - Instructional Television Network:*

USC received a large grant from a private foundation to build an ITFS network which began operation in late 1972. The Network transmits nearly 70 regular USC courses a semester in most of the engineering disciplines and in computer science and mathematics (the preponderance of courses are in electrical engineering and computer science in line with the interests of most of the companies in the Network). It is possible to obtain a degree in these two disciplines entirely with courses taken over television. There are three categories of students taking courses on the Network -- regular students, nondegree students, and auditors. The latter two categories pay less than regular tuition.

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*Information provided by Jack Munishia, Professor of Electrical Engineering and Director of Instructional Television Network, School of Enginnering, USC, November 1986.

In 1975, USC began delivering special noncredit courses (employee development programs) to industry on various topics of interest during the noon-hour. USC has developed cooperative arrangements with other university TV networks by which a portion of the course fees is returned to the supplier organization. In this way, the USC Network sometimes acts as a local distribution system for the noncredit offerings of other universities. The cooperative effort was formalized in 1976 with the establishment of a consortium of 33 schools of enginnering known as AMCEE -- Association for Media-Based Continuing Education for Engineers. AMCEE leases and sells member universities' videotaped courses, as well as those it develops on its own, to industry and government.

USC broadcasts to 40 company sites as well as to four remote USC regional locations that are open to employees from any company. In 1985-86, the Network had enrollments of 3800 course registrations in the regular USC courses and 3500 in the noon-time noncredit courses. The University also broadcasts seminars by visiting speakers from other universities and occasionally conferences being held on campus.

The budget of the USC Network is about $2.6 million a year. Income is derived from monthly participation fees, TV surcharges, auditor fees, nondegree student fees, fees for continuing edcuation courses and tape sales and leases. No part of basic Univeristy tuition is credited as income to the Network, even if a student decides to pursue a degree at USC only because of the convenience of television. On this accounting basis, it took the Network six years to move into the black.

Future Plans -- In recent years, USC has been visited by a growing number of representatives from other engineering schools also interested in becoming involved in live instructional television broadcasting. This burgeoning interest comes from a growing awareness that telecommunications will more and more substitute for travel in many areas of human activity.

In early 1987, a Ku-band satellite uplink will be installed. Initially, it will be used on an experimental basis to explore possible applications.

When USC first began planning its Network fifteen years ago, the concept was viewed as experiemental and there were questions about its academic integrity. Today, graduate education at a distance by the use of television is merely regarded as another of many interactions, previously accomplished by the physical movement of people, and now increasingly undertaken with modern telecommunications technology.

California Public Schools:

AB 803 (Katz), Chapter 1133, approved in September 1983, requires the Superintendent of Public Instruction to coordinate all State Department of Education activities relating to computer education.

The bill specifically authorizes the Educational Technology Local Assistance Program to award various types of grants for certain specified purposes to school districts, county offices of education, sponsors of regional occupational programs, public postsecondary educational institutions (emphasis added), individual teachers, and teacher education and computer centers meeting the eligibility criteria. The bill also permits the Educational Technology Committee to develop a request for proposals and award a contract for production of a television-based learning system pertaining to computers.

The State Department of Education is to prepare and submit a sunset report by March 1, 1987 to the legislative fiscal committees. The Educational Technology Local Assistance Program would cease to exist on June 30, 1989, unless the Legislature continues the program after the study prescribed in Section 62006. The "Long Range Educational Technology Plan for California Schools" was approved by the State Board of Education in November 1986.

Lake County School District: The Superintendent of Schools in Lake County, after receiving approval from the County Board of Education, contracted for the delivery of educational programs via satellite with a private educational communications network (TI-IN) based in San Antonio, Texas. TI-IN began transmitting secondary course work and teacher continuing education courses to the school district in January 1986. The school district is pursuing the possiblity of the California State University accrediting its teacher inservice courses, so that teachers completing coursework can transfer units should they leave the district.

Secondary level classes are foreign language and math. The curriuclum is approved by the local board with no SDE involvement. Elementary "enrichment" courses are available in 30 minute segments; students must take a "field trip" to a high school campus to take advantage of those. Four hundred hours of teacher inservice programs are available for broadcast in the afternoons and Saturdays, but according to the Superintendent there has been some reluctance to take advantage of those.

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ISSUE PAPER #16*

ACCREDITATION AND LICENSURE: HOW DOES THE STATE ASSURE ITSELF OF QUALITY CONTROL IN POSTSECONDARY EDUCATION?

Introduction

This paper examines the role of accreditation and licensure in assuring the quality of higher education in the state. It also presents a series of policy issues which the Commission may want to include in the draft Master Plan. Is it not a study of accreditation; for those wanting additional detail on accreditation there is an excellent report by the California Postsecondary Education Commission which is listed in the appendix. The paper will also not deal with questions of nondegree-granting institutions. The system of licensure for these institutions is similar to the one used for degree-granting institutions. Finally, it is not an attempt to compare accrediting associations.

The role of accreditation and state licensure in the operation of colleges and universities is not well understood. A few years ago, the complexity of these issues caused the Chairman of the Senate Education Committee to throw up his hands in frustration. In order to lessen the possibility of that happening with the Commission, a glossary is presented which differentiates several categories of licensure and accreditation. The paper is also divided into several parts including a general background discussion, a series of policy options and two short appendices which provide detail on issues raised in the background section.

A GLOSSARY OF ACCREDITATION AND LICENSURE

Licensure - "a governmental regulatory process by which the state grants institutions the authority to award degrees and diplomas, and by which it determines that institutions have met minimum acceptable standards of educational quality and consumer protection."

Licensure Agency - In California the agency responsible for licensure of private institutions is the Office of Private Postsecondary Education in the Department of Education.

Approval - A category of licensure for institutions administered by the Office of Private Postsecondary Education which requires an institutional review conducted by a visiting committee.

Authorization - A lower category of licensure which requires compliance with a list of financial and disclosure requirements administered by the Office of Private Postsecondary Education.

Accreditation - a nongovernmental voluntary process of peer evaluation of institutions based on "normative expectations of academic quality and institutional performance."

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*Prepared by Jonathan Brown

Regional Accreditation - institutional accreditation done by one of six organizations recognized by the Councl on Postsecondary Accreditation (COPA) and the U.S. Department of Education's Division of Eligibility and Agency Evaluation (DEAE) for that purpose.

National Accreditation - institutional accreditation done by organizations formed to review institutions with limited purposes such as Bible colleges or trade and technical schools. Also recognized by COPA and DEAE.

Program Accreditation - a review process of an individual professional school or academic program often supported by a professional association. May be recognized by COPA or DEAE.

Council on Postsecondary Accrediation (COPA) - A voluntary association of accrediting agencies whose purpose is to facilitate the work of accrediting bodies in insuring the "quality and diversity of American postsecondary education"

Division of Eligibility and Agency Evaluation (DEAE) - A part of the U.S. Department of Education whose task it is to recognize accrediting agencies. Accreditation by agencies so recognized brings to an institution eligibility for federal student aid funds provided by Title IV of the Higher Education Act.

There are two policy questions which the processes of accreditation and licensure are attempting to answer. They are: 1) What quality standards should be required for proposed new and existing colleges and universities? and 2) Who would apply and enforce those standards?

Why are governance questions for educational institutions so complex when similar regulation is not considered for other types of entities which provide services to the public? Why is it easier to establish the distinction between governmental regulation and market-based regulation in most other areas of activity than it is for education? The answer comes in part from a unique contribution which the American system has made to higher education. In many other countries educational institutions derive their authority from the state. A state ministry of education oversees the establishment of institutions and monitors their operation. The rationale for this extraordinary level of governmental interest in the operation of educational institutions rests on the notion that the activity directly creates the public good of an educated citizenry.

American higher education has evolved under a much less centrally directed system of governance, one which grants a high degree of autonomy to even state institutions, under the assumption that such a system is essential to free inquiry by scholars and students. The alternative to this noncentralized system would be the creation of a ministry of education, either at the federal level or in each of the states. Policies and programs of institutions would be developed from a central source. The probability of an increased level of politicization of educational questions would occur.

The bifurcated system which divides authority between governmental and nongovernmental processes assumes that a system of peer evaluations of institutions will perform to a higher standard than a state agency will. The American system still assumes a high public purpose for education, but does not limit it to "state action" (see Appendix 1). The division of authority between functions carried out by the state and those carrying out a public purpose through nongovernmental agencies can also be justified by at least three other principles. The first, a recognition that education plays a key role as a gatekeeper for entry into several professions such as law, medicine, architecture, and engineering. The state's attempts to assure a consistent level of quality by practitioners will not be adequate simply by relying only on licensure examinations for individuals at the conclusion of academic training. There is a tension here between the state interest in using a variety of methods to assure superior and consistent performance by regulated professionals and the history of academic independence. In this case, a state regulatory role may be properly delegated so that academic feedom is not violated, but the state can assure itself of an independent judgment of performance by educational institutions.

The second rationale is a fiscal one: the state must be able to assure itself that monies expended in pursuit of a public purpose are wisely spent. The state provides significant levels of assistance to students who want to attend public and private educational institutions. Here, if nongovernmental accreditation is utilized, the state may save costs for evaluations which would be duplicative of established systems.

The final rationale relates to a claim from some of the general powers of the state to protect residents from fraudulent activity. The state claims the right to prevent the issuance of fraudulent credentials, whether or not those credentials are required for licensure into a profession. Here, the state reserves a primary role.

The current system of recognition of institutions is complex and may seem to work at cross purposes. It is based on the notion of shared responsibility between governmental licensure and nongovernmental voluntary accreditation. Critics abound. Some contend that the system may delegate too much authority to accrediting agencies and, therefore, that the licensure responsibilities to the state should be better developed. Others argue that the licensure system allows institutions of questionable quality to operate virtually unfettered. Still others would contend that the current number of recognition categories for degree-granting institutions is unnecessary and possibly misleads the public. California has been criticized as being too willing to allow nonaccredited institutions to operate in the state. Several states prohibit the establishment of nonaccredited institutions. Some require nonaccredited institutions to be closely monitored by a state licensure agency.

Issue 1: What is the proper role for the state in assuring the quality of proposed new and existing degree-granting colleges and universities operating in California?

Background

Evolution of the State Role in Licensure of Private Institutions:

Prior to 1958 the state exercised very little oversight of private institutions. A 1957 report of the Legislature found that this lack of regulation encouraged several "diploma mills" to establish themselves in the state. This led to the enactment of a series of new standards for private institutions to operate in the state and creation of the Bureau of School Approvals within the State Department of Education to apply the new standards. The new statute established minimal financial requirements, including the posting of $50,000 in assets but those standards were so broadly interpreted that an institution could operate in the state without any clear dedication of assets and without an independent assessment of whether the valuation of the $50,000 was in any way reasonable. The sections in the code relating to private institutions (Division 21 of the California Education Code) generally exempted accredited institutions from any relationship with the state except for the filing of an annual affidavit by the institution that the continued to operate. Between 1958 and 1976, there were several attempts increase the requirements for nonaccredited institutions, including legis tion in 1969 which broadened the levels of disclosures.

In 1973, the Education Commission of the States published model draft legislation for the licensing of private institutions. This prompted a significant increase in the level of legislative activitiy in several states including California. SB 355 in 1975 authorized the newly organized California Postsecondary Education Commission to conduct a study of the operation of Division 21. The CPEC report leveled four charges against the existing activities by the Bureau of School Approvals. It argued that Division 21 was unresponsive to the needs of the student consumer and to private institutions. It also concluded that the bureau had not exercised adequate energy in enforcing the existing statutes. Finally, it suggested that the state needed to create a centralized authority for the regulation of all private institutions.

The enactment of AB 911 produced several significant changes from the existing statute. In regard to degree-granting institutions, it continued a division among institutions between "accredited" institutions and two types of nonaccredited institutions ("approved" and "authorized"), but standards for all institutions were increased. First, it established a series of minimal consumer protection and advertising standards which were applicable to all private institutions, although generally if an accredited institution were following accrediting guidelines it was deemed in compliance with the standards. Second, it established some additional requirements applicable to nonaccredited institutions which would improve the level of consumer understanding through additional disclosures and standards of practice. Third, the Superintendent of Public Instruction was given a more direct authorization to refer complaints about accredited institutions (those accredited by regional or national accrediting agencies) to their accrediting agencies. Fourth, it strengthened the requirements for establishing an institution under the old "(a)(3)" (now "authorized") standard. For example, the statute now provides that the dedication of assets for an educational institution must be bound to that institution and the valuation must be independently verified. After passage of AB 911 a second measure was enacted, in part at the request of some of the "authorized" institutions, which elaborates the standards of compliance for licensure under that section in the Education Code. (94310.3)

The report also proposed legislation to create an indemnification pool, paid for by nonaccredited institutions which would compensate students for losses occurring when an institution fails in mid semester. Legislation creating a Student Tuition Recovery Fund was enacted in 1977.

The Private Postsecondary Education Act has a sunset date of 1991. In 1989, CPEC is expected to do an assessment of the law and its implementation.

Private Institutions are also represented in state government by the Council on Private Postsecondary Educational Institutions, which is a Board established within the State Department of Education and responsible for the establishment of policy for the Office and decisions on institutional licensure. Its membership comes from institutional representatives and (lay) public members. As with other "industry" related state boards and commissions there have been questions raised about the Council's relationship to the sector. Should the Council serve as an advocacy body for the institutions or as a separate state policy making agency? The trend in recent years on many similar boards has been to decrease the percentage of representatives of the "industry" involved and increase the percentage of lay members.

The state also exercises some regulatory authority over private institutions through several other agencies. The Department of Consumer Affairs takes some role in regulating vocational programs. The Attorney General exercises criminal and civil responsibilities for the enforcement of fraud statutes as well as for the regulation of charitable trusts.

Categories of Licensure for Private Institutions of Higher Education:

Private degree-granting institutions in the state are licensed to operate under one of five sections of the law. "Accredited" institutions operate under the authority of 94310.1. Those institutions are required to supply an annual affidavit of operaion to the Superintendent but are generally excluded from direct regulation by the Office of Private Postsecondary Education. Accredited degree-granting institutions are exempted from annual fees and from contributing to the Student Tuition Recovery Fund.

The second level of recognition (Out-of-State Accredited Institutions 94310.2) is in response to a separate problem which faces many states as institutions expand their educational role beyond a single campus. During the 1970's, many public and private educational institutions expanded their educational programs to off-cmapus locations in their regions and in other states. There was a perception by many that some of these programs were used to generate revenue for the home institutions and that the level of attention from the home campus was minimal. Institutions were able to operate in California without following any standards by which in-state institutions were guided. In 1981, California enacted an amendment to the existing Private Postsecondary Education Act which required out-of-state institutions to submit to a review by the Western Association of Schools and Colleges or to file under the Approved or Authorized statute. The accredited out-of-state institutions objected to this new requirement and attempted to get the law changed through the Legislature and through intervention in the accrediting regions and the Council on Postsecondary Accreditation. The fight on the issue was, at least for higher education, a rather nasty one. In the end, intervention by CPEC produced new standards in law which increase the level of review of off campus operations in California by the home region through a coordinated process involving the State Department of Education and the home region. The solution was workable for all interests concerned.

The third level of recognition for degree-granting institutions in the state is under 94310.3 and is called "approved" status. Approved institutions pay an annual fee to the Department of Education and also pay the expenses of visitations as part of their approval. As the approved status was originally instituted, the category applied to individual programs within an institution. Thus, an institution which had only one program approved could claim approved status. That standard was changed with the enactment of SB 1923 (discussed below). The approved category now requires institutional rather than program review. It was reasoned that the program approval process allowed a shaky institution to claim a special status which was not warranted. Approval requires a review by an outside team formed by the Office of Private Postsecondary Education. The institution drafts a self study which is then reviewed by the OPPE team.

SB 1923 provides that the approval procedure is to be comparable to standards exercised by accredited institutions. There has been considerable concern expressed by accredited institutions, however, that this characterization is misleading and inappropriate. In a pure system of regulation, there might only be one standard of state review which would work in tandem with accredited status.

The new statute also raises a serious question about whether the "comparable" language in the code creates the possibility that a state system of accreditation might be established. What is particularly troubling is whether the standard written in the statute can actually be attained and, even if it can, whether this attempt is a first step in creating a state system of accreditation.

The confusion created by the approved status does not deter accrediting associations from utilizing it as a precondition to candidacy for accreditation. Under existing WASC guidelines, an institution applying for candidacy for accreditation must first attain approved status. Included in this category are institutions which will eventually become accredited as well as some which do not desire to become accredited. One institution established under the approved category claims that the approved status connotes that its programs have been "evaluated favorably as being consistent with accredited institutions in terms of curricula quality and verifiable evidence of graduate's academic achievement."

The fourth level of recognition for degree granting institutions is "authorized" status. Authorized institutions pay an annual fee to the Department of Education. Authorized institutions now are required to meet a specific list of requirements relating to institutional stability and integrity. The Department of Education refers to these standards as "quantitative" while the approved standards are "qualitative". Among all of the categories the authorized institutions might be characterized as the most volatile. Institutions filed under this category run a wide range. A review of a listing of institutions filed under the similar category ten years ago reveals that some are still operating under the authorized category, some have moved from authorized to approved or accredited status, and some have simply disappeared.

The range of nonaccredited institutions in the state is revealing of the diversity created by this type of licensure statute. A review of more than 100 catalogues published by authorized and approved institutions suggests that the institutions operating under this section range from new or developing educational programs to nontraditional programs which might never seek accreditation to outright frauds. Some of the catalogues establish a specific fee for a degree, others claim that a student can gain a majority of "units" through credit for "experiential" learning. Still others urge the student not to consider them if he or she seeks licensure in a profession regulated by the state.

A fundamental question facing policy makers in this area is whether nonaccredited institutions are legitimate alternatives to accredited institutions or whether their provision in the codes present too high an encouragement for shoddy practices. One relevant statistic is the proportion of doctorates produced by each segment. In Background Paper #6 enrollment statistics were presented, accredited institutions have a total of 192,873 students, including graduates and undergraduates. They produce just over 2000 doctorates a year. The unaccredited institutions have 8500 students and produced 1000 doctorates. That might be explained by the fact that many of the unaccredited institutions have a graduate concentration. A more likely explanation is that some of the institutions are simply in operation to produce degrees. The substantial proportion of doctorates produced to students enrolled has promted some observers to suggest that nonaccredited institutions be prohibited from offering degrees above the BA.

A second concern raised about the existing categories is the perception that there is some kind of hierarchy in the designations. The conclusion could easily be drawn that authorized institutions will eventually become approved and that approved institutions will eventually become accredited. While that track occurs for some institutions, it is by no means preordained. Suggestions that timetables be established for institutions to progress from authorized to accredited status have never been given serious consideration.

The rationale for the categories of recognition is based on the notion that the system accommodates a wide range of institutional types. The unaccredited institutions would claim that their institutions are the locus of innovative practices. Accredited institutions would question that assertion. In at least one profession the state has chosen to use a recognition system which allows a wide range of opportunities for education, compared to other states, but has a very restrictive standard for admittance to practice. Compared to all other states California has a wealth of law schools, many of which operate without American Bar Association accreditation but with a similar review by the California Committee on Bar Examiners. On the other hand, California consistently has the lowest rate of bar exam passage. A tradeoff is established which promotes a high numbers of students but a low rate of admittance to practice. Other states have chosen to control quality by limiting the number of institutions which can operate in the state.

The final type of state recognition for institutions is for religious institutions. First Amendment protections limit the role of the state for these institutions so long as their educational activitiy is solely related to the religious mission of the sponsoring church. The waters here can sometimes become murky, however, because of broad claims of doctrinal activity by some institutions. It is not always clear when religious activities move out of the role of dogma and into a role which would be otherwise regulated. There is some question here whether some of the institutions filed under this category are exercising legitimate First Amendment rights or are merely created to circumvent state licensure.

Policy Options

Option 1: Recommend that the Legislature amend the Private Postsecondary Education Act to prohibit nonaccredited degree-granting institutions from operating in the state.

This option is similar to statutes in several other states. Described in Colorado law as a "safe harbor" standard, it allows accredited institutions or candidates for accreditation to operate in the state without further institutional licensure standards but makes it very difficult for nonaccredited institutions to be established. The option would eliminate several institutions which seem to be operating in the state for less than ethical reasons. At the same time, however, it would reduce the possibility that new institutions could become established. This would also impose a higher level of reliance on accrediting decisions than either the Accrediting Associations or the state should desire.

Option 2: Recommend that the Legislature amend the Private Postsecondary Education Act to require a single licensure process for all private institutions in the state.

This would respond to the criticism that the state rely's too much on accreditation decisions. The change in structure would eliminate any reliance by the state on accreditation. Every private institution in the state would be required to go through a licensure process established and administered by a state agency.

It is clear from the policy discussions in the Legislature over the last decade that this would impose an additional burden on institutions which seem to operate effectively and would impose additional governmental intervention into their operations with little or no benefit to the institutions or students.

Option 3: Recommend that the Legislature amend the Private Postsecondary Education Act to strike the "approved" category (Education Code 94310.3) for degree-granting institutions.

The "approved" category has created confusion for educational consumers who equate approval with accreditation. Elimination would change the state role to assuring compliance with consumer protection standards and would not involve the state in attempting to make decisions based on qualitative differences.

Approved institutions would contend that the alternative form of recognition is necessary. It allows institutions who do not desire to become accredited the opportunity to demonstrate a higher level of performance than required under the "authorized" standard. Finally, the category is useful for those institutions who wish to become accredited because it requires them to prepare to a higher level of performance than they are required to demonstrate under the authorized category.

A modification of this recommendation could request the Legislature to amend the existing statutory language so that references of comparability to accreditation in the approved category be deleted. This option would ease the confusion created by the language but would not clear up the problems created by so many categories of institutional licensure.

Option 4: Recommend that the Legislature amend the Private Postsecondary Education Act to eliminate "authorized" recognition for degree-granting institutions.

The requirements of the "authorized" category are too minimal to assure adequate standards of quality. There is continuing evidence that some institutions do little to provide a quality educational experience.

In response to that criticism, "authorized" institutions would respond that theirs is a dynamic sector of education. It is the best method for allowing a wide range of institutions to develop. Several institutions in the last decade have moved from "authorized" to "accredited" status.

Option 5: Recommend that the Legislature amend the Private Postsecondary Education Act to combine the review features of the current "approved" and "authorized" categories of licensure.

A modification of recommendations #3 and #4 would be to recommend to the Legislature to amend the Private Postsecondary Education Act so that the approved and authorized categories of institutional licensure be combined so that the state agency in charge of nonaccredited institutions would require compliance with a series of financial and disclosure standards (as in the current standards for "authorized" institutions) but would also conduct a higher level of on site review (as in the current approved institutions). This combination would establish a higher level of review for authorized institutions and simultaneously eliminate the confusion created by the existing approved category.

Option 6: Recommend to the Legislature that the Private Postsecondary Education Act be amended to prohibit authorized institutions from granting degrees above the BA.

A major justification for the continuation of the "authorized" category is to promote new and nontraditional institutions. It could be argued that these kinds of new institutions need to be able to concentrate on developing their educational programs. Eliminating the opportunity for advanced degrees in the authorized category would promote innovative and nontraditional instructional approaches while reducing the possibility for fraud in areas where it is most likely to occur.

Option 7: Request the Legislature to require in statute that institutions in the "authorized" and "approved" categories be required to move to the next higher level of institutional licensure within a stipulated period of time.

If the categories of institutional licensure are thought of in a hierarchy, as the Department of Education seems to describe them ("authorized" institutions are judged by "quantitative" standards and "authorized" institutions are judged by "qualitative" standards) then it is logical for the state to establish timetables for institutions to follow. For example, "authorized" institutions could be required to achieve approved status in five years and accredited status in ten years.

The arguments against the proposal center on whether such a requirement would impose an additional assumption of "state action" on the process of accreditation. Some of the authorized and approved institutions would argue that existing accrediting standards are too narrow to evaluate their programs.

Option 8: Recommend to the California Postsecondary Education Commission that it begin the statutorily mandated review of the existing licensure standards for private postsecondary institutions in 1988 and that it include as part of the review explicit consideration of:

- Prohibition of nonaccredited higher education institutions from operating in the state;
- Creation of a single process of licensure for all private institutions in California;
- Removal of the "approved" category of licensure from the statute for degree-granting institutions;
- Modification of existing statutory language so as to delete references to comparability between approved and accredited institutions;

- Consolidation of the "approved" and "authorized" categories of licensure into a single set of standards for nonaccredited institutions;
- Elimination of the "authorized" category of licensure from the statute for degree-granting institutions;
- Prohibiting nonaccredited institutions from granting degrees above the BA;
- Establishment of a hierarchy of licensure in which institutions would be required to move from "authorized" to "approved" and from "approved" to "accredited" status within a stipulated period of time.

The existing statute regarding licensure is due to expire in 1991. Before that CPEC is required to review the operation of the statute, including the existing categories of licensure. Part of that review should include a study of alternatives which offer substantial differences from existing policy assumptions. By moving the review forward by a year the Postsecondary Commission could develop a more thorough picture of problems with the existing statute. Both categories of nonaccredited institutional licensure have been amended recently. By the time of the study both will have been operational for a sufficient period of time to determine whether additional changes in the statute are necessary.

Issue 2: What is the appropriate administrative structure for regulating private postsecondary institutions?

Issue Elaboration

The CPEC report which preceded enactment of AB 911 proposed removing the Bureau of School Approvals from the State Department of Education and creating a new agency to deal with these institutions. The rationale used for this proposal was twofold. First, the new agency would elevate the status of private educational institutions in public policy debates. The Office has been criticized as being an agency which does not have an adequate policy focus. For example, the Office and the Council are not able to inform policy discussions in the state with adequate data on students served, outcomes produced by the sector, or resource availability. In addition, it is argued that the current organizational pattern has no capability for planning processes which could help the state better integrate those resources into state planning mechanisms. Second, a Department whose primary function was elementary and secondary education could not give private postsecondary institutions adequate recognition and attention. The rationale was similar to those used when the Community Colleges and State Universities were separated from the Department of Education. The proposal was ultimately deleted from AB 911 in part because of strong objections by the Department of Education.

Policy Options:

Option 1: Establish the Office of Private Postsecondary Education and the Council for Private Postsecondary Education Institutions as a separate entity from the State Department of Education.

In the discussions surrounding this issue on AB 911 proponents argued that creating a separate agency for the private sector of higher education could be justified as a method to increase the status of the private sector in policy discussions.

The Department of Education argued that the Office of Private Postsecondary Education benefited from being where it was because of administrative savings generated from the support provided. It also argued that administration of the Office had been significantly improved in recent years. In addition, some accredited institutions did not want to increase their level of involvement with nonaccredited institutions.

Option 2: Establish a new agency for private degree-granting institutions.

The Department of Education has a traditional role in vocational education and most of the nondegree-granting institutions have that focus. Thus an alternative to #1 would be to create a new agency for private degree-granting institutions and to keep the nondegree-granting institutions within the jurisdiction of the Department. It could also be argued that the two halves of the private sector have nothing in common but their type of organization. Critics of this solution might argue that the proposal would further weaken the visibility of the sector by dividing its agency functions. There might also be concern by some accredited degree-granting institutions that if the separation were made nonaccredited institutions would benefit from the closer association with accredited degree-granting institutions.

Option 3: Recommend to the California Postsecondary Education Commission that in its statutorily mandated review of the existing administrative structure it give explicit consideration to:

- Establishing the Council for Private Postsecondary Educational Institutions and the Office of Private Postsecondary Education as a separate entity from the State Department of Education;
- Restructuring the Council on Private Postsecondary Educational Institutions to provide a majority of lay citizens without current or prior employment or business connections to private postsecondary institutions that fall under the Council's jurisdiction.

Issue 3: What public policy should the Commission recommend regarding the assessment of student and institutional performance?

Issue Elaboration

The interest in output measures for higher education has several concerns about the performance of higher education. First, as the diversity of students being served by higher education has increased there has been concern expressed that institutions be able to demonstrate their effect on students who enter and graduate. Second, several recent studies have been critical of the performance of certain of the professions. For example, there have been at least five studies on the ability of licensed teachers to provide education to today's students in elementary and secondary education. A good deal of the blame in each of the studies is directed to teacher training programs. Third, higher educational institutions have begun to react to the destructuring of the baccalaureate degree which took place in many institutions during the 1970s, with a renewed emphasis on a series of core courses.

Each of these concerns can be established in a movement for establishment of some kind of output measure. At this point it is unclear whether a movement for outcomes assessment, in any of its manifestations as discussed below, would better be accomplished through the governmental processes of licensure and in some part the budget process, through the nongovernmental processes of accreditation or through some combination of the two. It is likely that at least some of the assessment systems would generate strong objections from educational institutions, public and private, if they were implemented through a governmental mandate. It would also be asserted that assessment systems which are implemented as a part of nongovernmental accreditation will be more flexible as needs change. If one were to classify the three types of output measures which might be suggested, they could be described as: 1) milestones, 2) competencies, or 3) value added approaches to assessments.

The milestones movement has been manifested in both governmental and nongovernmental approaches. The movement argues that every student in higher education must successfully negotiate a series of milestones in order to be granted a degree. For example, the recent Carnegie report on undergraduate education suggested a series of requirements be added to the BA degree such as an undergraduate thesis or the restructuring of their undergraduate course in "liberal arts" courses. Several of the regional accrediting associations have developed new standards in their handbooks or broadened standards in their existing handbooks which stipulate the mix of courses which every student should take before graduation from a college and reestablish a commitment to a broad preparation in the liberal arts. On the governmental side of the movement have been suggestions that students take a statewide examination at graduation as well as statutes in at least one state which require students to pass an examination at the end of their sophomore year to continue toward a BA.

A recent report recommending changes in the undergraduate curriculum at the University of California is another example of an institutionally based examination of appropriate milestones for undergraduates. The report was initiated by the University administration and suggests some fundamental restructuring of the undergraduate experience at UC campuses. With those kinds of nongovernmental actions one might question whether the establishment of additional specific state imposed guidelines is really necessary.

The second part of the movement for assessment has focused on competencies. Many of these activities would increase the certification requirements for entry into professions, that is clearly a governmental role. For example, the California Commission on the Teaching Profession has suggested that teacher candidates pass an examination before being certified to teach. The examination for teachers would be more comprehensive than the current CBEST exam which tests minimum levels of skills. In the nongovernmental side of the competencies equation has been the call by some institutions that students be required to pass a series of comprehensive examinations before being certified for graduation.

The competencies movement has been attacked from several fronts. First, it is asserted that a reliance on paper and pencil examinations provides an inaccurate measure of competencies. Second, the examinations have been attacked as being biased against minority students.

The third part of the movement is the most appealing initially and yet also the most slippery, the movement of "value added" education. As discussed by some it would merely be the assessment of the net effect of an educational institution on the students who attend. As the idea gets to a more concrete stage it might base governmental budgeting on a calculation of the net improvement which an institution had on an individual student. For example, the per student subsidy to an institution might be higher for an institution which did an exceptional job of educating low income students who come to an institution with limited skills than for fully prepared students who come to an institution with a high level of readiness and leave for prestigious graduate schools.

Policy Options:

Option 1: Recommend that the Chief Executive Officers of the campuses of the Univeristy of California, the California State University, and the California Community Colleges use their influence as board members of various accrediting agencies to:

a) convince the regional accrediting commissions to take more cognizance of student "outcomes" in evaluating institutions -- holding colleges and universities accountable for clear expectations for student learning and appropriate assessment programs to determine whether the expectations are being met;

b) convince the programmatic accrediting agencies to pay more attention to the larger institutional missions and purposes of undergraduate colleges and the integrity of the general education curriculum -- guarding against overspecialization and excessive major requirements.

While the state and its colleges and universities have no direct influence over the policies of voluntary accrediting agencies they can nonetheless affect policies of these agencies through a concerted effort by institutional representatives who serve on those bodies.

Option 2: Make no recommendation regarding the assessment of institutional and student performance.

APPENDIX 1

The Principle of State Action and Its Relation to the Fomation of Private Institutions of Higher Education

Many of our early constitutional writers established a difference between public and governmental actions. They argued that some functions which might be carried out by government in other countries could be carried out under our system by nongovernmental entities, thus some public actions did not have to be governmental. The fundamental interst of the state in education does not mean that all educational activity is "state action". Beginning with the Dartmouth College Case (4 Wheat (U.S.) 519 (1819)) a careful line has been drawn between the legitimate state interest in education and the establishment of state action. As discussed above, the American system of higher education has rejected the notion that education will perform best if it is tightly controlled from a centralized agency. Thus, American colleges and universities have utilized lay boards as their primary governance mechanism. There has also been a long standing tradition that education in this country is not just carried out by the state. In a more recent court case, the question of state action was directly addressed:

> We have considered whether higher education constitutes "state action" because it is a "public function" as that term has been developed... and have concluded that it is not...education...has never been a state monopoly in the United States. (Greenya v. George Washington University 512 F.2d.556 (D.C. Cir., 1975), quoted in Kaplin)

The system of governance for public institutions was thoroughly discussed in Background Paper #5 with the exception of a detailed discussion of the role of peer evaluation for institutional quality assurance. In California, private educational institutions may be organized as either proprietary (for profit) or nonprofit corporations. Most collegiate institutions operate as nonprofits and are governed by an independent board of trustees.

Nonprofit corporations do not have stockholders/owners. They can be subdivided into public benefit corporations and religious corporations. Most collegiate institutions, even those with a religious heritage, are organized as public benefit corporations. Public benefit corporations are limited so that all assets held in the corporation cannot inure to an individual and at dissolution the remainder, after settling all outstanding liabilities, must be continued for the original public purpose. The restrictions on public benefit corporations make them very much like public entities.

The public role in relation to proprietary institutions is much less direct. For example, while they are required to follow the standards in the Corporation Code there are fewer restrictions for dissoultion of assets. In addition, proprietary institutions have shareholders who own the corporation, just like any other business entity. These institutions do not have the irrevocable commitment of assets to a single purpose. While it is common for proprietary institutions to be found in vocational programs a few operate as degree-granting institutions. The flexibility of the for-profit corporation in education has allowed proprietary institutions to enter into markets more quickly. It has also encouraged many to concentrate on measures of performance, such as hiring rates for graduates, which may not receive as much attention in public or nonprofit institutions.

Higher education institutions also have a long history of independent governance. The Carnegie Commission on Higher Education suggested a decade ago that the tradition was under pressure because of changes in the level of support from federal and state governments and because of the increasing attention which colleges and universities were receiving from policy making agencies for the alleviation of social problems. The pressures which the Carnegie Commission found in the seventies are not unique. They are similar to those experienced by institutions of higher education during the McCarthy period in the 1950s. Yet, even with periodic challenges to independent governance, educational institutions, whether public or private, continued to operate with a significant degree of institutional autonomy. The concern for increased control based on dealing with societal needs is something which on the most part is controllable. James Rogers, Executive Director of the Commission on Colleges for the Southern Association of Colleges and Schools, in a speech before the Southern Association of Institutional Research, asserted "When institutions fail to respond to these needs, society turns to other organizations and agencies which exercise some influence over higher education decision making."

Several times in the last two decades, the level of federal interest in regulating institutions has been asserted, thus adding credence to the point made by Carnegie. For example, the Federal Bureau of Investigation, the US Postal System, and the Federal Trade Commission conducted an investigation of diploma mills, called Dipscam, and prosecuted fraudulent activities but did not increase regulation of legitimate institutions. The General Accounting Office has made suggestions about limiting involvement of vocational institutions in federal student assistance because of high default rates and inadequate campus monitoring of programs. Federal interest in the area of institutional regulation seems to ebb and flow in relation to chnges in administrations, for the most part, however, the primary regulatory role of government has been asserted at the state level. The 1976 report by CPEC, which proposed revisions in the administration of state law relating to private institutions, speculated that lack of state action in the area could lead to a federal preemption, but it is unlikely that the federal government could successfully claim significant new roles which would preempt the primary regulatory role for education at the state level.

APPENDIX 2

The Role of Accrediting Agencies

Private voluntary accreditation and governmental regulation of higher education developed concurrently. Both began as a college degree became more important for employment and at a time when it was hard to differentiate among institutions of satisfactory or higher quality. The accreditation movement began as a method by institutions themselves to make peer assessments of an institution in order to assure quality.

The CPEC report on accreditation defines it as, "the process of on-going peer and professional review of institutional operations that institutions may utilize as a means of improving their effectiveness and quality" (CPEC 84-28). There are six regional accrediting associations and several more limited purpose national associations. The regionals offer institutional accreditation of general collegiate institutions. In California, the regional accrediting agencies focus on more limited purpose institutions such as business/secretarial schools (Association of Independent Colleges and Schools), vocational programs (National Association of Independent Colleges and Schools), vocational programs (National Association of Trade and Technical Schools), and specialized missions (Association of American Bible Colleges or the National Home Study Council). Each of the national accrediting agencies acts to accredit on an institutional basis.

Two national components of the accreditation network are a private organization of accrediting associations, the Council on Postsecondary Accreditation, (COPA) and the federal Department of Education's Division of Eligibility and Agency Evaluation (DEAE). COPA is a national voluntary association of accrediting agencies The federal office function is to recognize accrediting agencies who are eligible to certify institutions as being eligible to receive students who carry federal student loans and grants.

Prior to 1972, federal law limited Title IV student aid funds to accredited institutions, and only those accredited by associations recognized by the predecessor agency to the DEAE. The Education Amendments of 1972 created a new eligibility standard which allows student eligibility for federal student grants if a nonaccredited institution can find three accredited institutions to accept their credits. Although very few institutions have qualified under the modified standards, attempts to broaden it further have failed. In addition, attempts to impose limits on the use of accreditation have been rejected.

Institutional accreditation is generally granted for a period of up to ten years. Yet, in theory, the process involved in accreditation should be ongoing. For example, the criteria of the Southern Association of Schools and Colleges, states "All institutions, however, must engage in continuous study, analysis, and appraisal of their purposes, policies, procedures, and programs."

A major criticism of accreditation is that it relies on input measures such as how large the library is and the percentage of Ph.D.s on the faculty rather than output measures such as how students learn and change while at the institution. Those measures are harder to establish and some critics of outcomes assessments also suggest that such measures reduce the student to the status of a product. Yet several of the regional accrediting associations have established outcomes based measures in their revisions of accrediting guidelines. For example, the Southern Association of Colleges and Schools' Criteria for Accreditation include a requirement relating to the core curriculum of any undergraduate program which must include "courses designed to develop skills in oral and written communication and in computational skills." The proposed WASC handbook includes a new requirement which is similar to the Southern standard but also adds that the core should establish competence in "the habit of critical analysis of data and argument." It is assumed that the standards would be implemented by an accreditation team, not just by verifying that such a course is available but also by establishing some method of measuring whether students leave an institution with the specified skills.

Another aspect of accreditation is the role of programmatic accrediting agencies. These specialized agencies focus on a particular profession or discipline. For example, many teacher education programs are accredited by the National Council for the Accreditation of Teacher Education. Another example is the American Academy of Collegiate Schools of Business, which evaluates schools of business for professional accreditation. Critics of programmatic accreditation claim that many of these agencies have a primary interest in securing higher levels of funding for their disciplines rather than the improvement of educational programs. They also assert that specialized accreditations are excessively expensive. Some institutions have utilized programmatic accreditation as an indicator that their graduate or professional programs were of high quality. Yet a recently completed COPA self study commented that accreditations, "particularly representatives of specialized and occupational programs," are often "self serving." The criticism stems from the concern that these groups often focus on the program they are evaluating and not the "total educational content and mission of the college or university."

There is one unique accrediting body in California, the Committee on Bar Examiners (CBE). The CBE acts as an accrediting body for law schools in the state which are not accredited by the American Bar Association. The CBE review is not replicated in other states, nor has it sought status with either COPA or DAEA. Last year the Legislature directed the CBE to seek COPA and DEAE recognition. The current standing of the CBE schools is that they are granted a special status in the licensure system but their students may not be eligible for the full range of available federal student assistance. As discussed above, the CBE option in conjunction with the operation of nonaccredited law schools has caused California to have an abundance of "accredited" law schools. However, at several times in the last decade the Legislature has rejected proposals to eliminate the authorization for nonaccredited law schools.

The primarily voluntary and nongovernmental nature of accreditation has often been called into question by critics of the process who argue that requirements which restrict opportunities for entry into many professions and limit eligibility for student assistance impart the mantle of state action on a private process. Challenges to the use of accreditation, under the theory that states have somehow abdicated their authority to private entities, have been substantially rejected by the courts although each of the accrediting associations has taken steps in recent years to lend some "sunshine" to their processes. For example, all meetings of the Senior Commission of the Western Association of Schools and Colleges are open to the public except those where a specific institution is being discussed. A major expanded role for the executives of accrediting associations in recent years has been to expand public awareness of what the process is.

Meetings where discussions about institutions take place are closed to the public under the theory that in order to maintain the necessary candor, especially about personnel and financial matters, discussions must be closed. The recommendations of the site visit team, which is forwarded to the WASC Senior Commission for decision, are also confidential. All WASC Senior Commission decisions about institutions are made public, although the reasons for such decisions are normally held in confidence. The Commission retains the option of making public "any pertinent information" available to the Commission, if an institution which has received a negative action "uses the public forum to take issue with a negative action of the Commission."

CPEC comments that the relationship between state licensure and chartering is "confusing" because an institution would be able to establish itself in the highest category of state recognition and still have its students ineligible for student aid grants or for licensure in some professions. The question raised is similar to the ones raised against the State Bar, which acts in behalf of the legal profession as a nongovernmental entity with substantial delegated powers. In the case of accreditation, however, the delegation of authority is more indirect.

Eligibiltiy for student grants in state programs is limited to public and accredited private institutions. Prior to 1982, institutions which were approved were also eligible, however, as a result of a report by the Student Aid Policy Study Group these institutions were effectively eliminated because of a concurrent desire to make efficient use of state funds. Cal Grants were limited to those institutions which participated in two of the three campus-based programs. Since the state program is built on a base of the federal grant system, this change was suggested as the most efficient use of state funds.

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APPENDIX A

COMMISSION MINUTES

April 1986 - July 1987

The April and May, 1986, meetings were devoted to special presentations by distinguished educational leaders and commentators (their presentations are summarized in the minutes; one presentation, postponed to July 1986, is summarized in those minutes.)

The June 1986 meeting was held as a retreat for Commissioners to discuss among themselves the major public policy issues to be addressed in their report (no minutes were taken).

The Commission selected the policy issues to be addressed in its report at the July 1986 meeting.

The 16 issue papers contained in this document were reviewed and discussed during the September 1986 through March 1987 Commission meetings. A list of the issue papers and the meetings at which they were discussed follows.

Issue Paper	Commission Meeting
1 - Access	September/October 1986
2 - Financing	September/October 1986
3 - Graduate Education/Research	October/November 1986; January/February/March 1987
4 - Coordinating Systems of Higher and Lower Education	November 1986; February 1987
5 - Retention	November/December 1986
6 - Faculty Resources	November 1986; January 1987
7 - Budgeting	November/December 1986
8 - Vocational Education/Training	December 1986; January 1987
9 - Governance	December 1986 (Community Colleges); January/February 1987; March/June 1987 (Community Colleges)
10 - Interdistrict Attendance	December 1986; January 1987
11 - Undergraduate Education	January/February 1987
12 - State-Supported Noncredit Instruction	January/March 1987

Issue Paper	Commission Meeting
13 - Adult Literacy	February 1987
14 - Continuing Education	February 1987
15 - Instructional Technologies	February 1987
16 - Accreditation and Licensure	March 1987

Additional presentations summarized in the minutes included *Students* (February 1987), *Faculty* (April 1987), and *Segmental Executives/Director's* (May 1987).

The Commission reviewed the drafts of its report in April through June, 1987, with final review and adoption of the report, *The Master Plan Renewed: Unity, Equity, Quality, and Efficiency in California Postsecondary Education*, taking place on July 22, 1987.

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Note: Subject to Review at Next Commission Meeting

Commission for the Review of the Master Plan for Higher Education
Dunfey San Mateo
Cypress Room
San Mateo, California
April 22-23, 1986
Minutes

Commissioners Present:	J. Gary Shansby, Chairman; Seth Brunner; Henry Der; Patsy Estrellas; Claudia Hampton; Harvey Hunt; Meredith Khachigian; Felix LeMarinel; Peter McCuen; Glenn Rothner; Edward Mosley; Michael Peevey (4-22); Harold Williams (4-22)
Commissioners Absent:	William D. Campbell, Vice Chairman; George Kieffer; Ray Remy
Staff:	Lee R. Kerschner, Executive Director; Jerome Evans; Julie Fahrenbruch; Murray Haberman; Robert Palacio; William Piland

Call to Order

The meeting of the Commission for the Review of the Master Plan for Higher Education was called to order by Chairman Shansby on Tuesday, April 22, 1986 at 9:20 a.m., in the Cypress Room of the Dunfey Hotel, San Mateo, California.

1. Approval of the March 18, 1986 Commission Minutes

Action: It was moved, seconded, and carried that the Commission approve the minutes of the March 18, 1986 meeting as distributed.

2. Chairman's Report

Chairman Shansby welcomed Dr. Harvey Hunt, who will be replacing Xavier Del Buono as the Superintendent of Public Instruction's designee to the Master Plan Review Commission. He expressed the Commission's appreciation for the excellent assistance Dr. Del Buono provided to the Commission in its development of *The Challenge of Change*.

Chairman Shansby reported that the Commission presented the report, *The Challenge of Change: A Reassessment of the California Community Colleges*, to the Joint Legislative Committee for the Review of the Master Plan, chaired by Assemblyman John Vasconcellos, on April 2, 1986 at the State Capitol. He noted that both the Commission and the Joint Committee were well represented and the presentation and discussions extremely useful.

Dr. Kerschner introduced Murray Haberman, who will be working with Commission staff the next several months as the liaison between the Master Plan Commission and the California Postsecondary Education Commission. Mr. Haberman will provide data liaison services and assist in drafting of background materials and information. He also introduced William Piland, who is preparing a paper regarding the governance and organization of vocational education in California. That paper will be submitted to the Commission for review and discussion at a later date.

Dr. Kerschner reported that Frank Bowen and Lyman Glenny have been hired as consultants to conduct the special study on Community College District Organization. Both have extensive backgrounds in and experience with the California postsecondary education system.

John Bukey informed the Commission that the Board of Governors and Chancellor, recognizing the importance of the second phase of the Commission's study to the on going interests of the Community Colleges, have assigned Gus Guichard, Senior Vice Chancellor, to follow the Commission's activities and provide whatever advice and assistance may be required.

3. Background Paper Number One

Included in the agenda was the first in a series of background papers designed to assist the Commission in its deliberations on the Review of the Master Plan for Higher Education. These papers will eventually be compiled in a collection of background papers that will accompany the Commission's recommendations on the Master Plan. The second paper will focus on the demographics of the state for the next 15 years, and the third paper will focus on the financing of public and private postsecondary education in California. There will also be a series of policy development papers that will provide back-up for Commission selected issues and assist the Commissioners in choosing among various public policy alternatives.

Background Paper Number One focused on the early studies of postsecondary education in California, the 1960 Master Plan, subsequent statewide studies, postsecondary education in California today, and a brief look at the future.

4. Special Presentations

The presentations and discussions with Commissioners was video taped with the assistance of the College of San Mateo. Dr. Kerschner indicated the video tapes would be made available to institutions or organizations in the state wishing to review them.

The following paragraphs provide a list of the speakers and a summary of their presentations regarding the major educational public policy issues they believe the Commission should address in its review of the Master Plan for Higher Education.

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A. Arturo Madrid, President, The Tomas Rivera Center -- A national institute for policy studies, affiliated with Claremont University Center and Graduate School; the Center focuses on issues of concern to the Mexican-American and major Hispanic populations of the U.S.

Dr. Madrid emphasized that in order to address the major public policy issues of the Master Plan, the Commission must first state what the educational objectives of the postsecondary education system should be. Having determined those objectives, the major issues should address how the system is going to deal with those students it is going to get as opposed to the kinds of students it would like to have. California's institutions of higher education must educate students to be both literate and numerate; to understand our nation's history and the functioning of its institutions as a dynamic and not a static process; to respect diversity and accept change and not fear either; to address complexity with confidence; and to understand that learning does not start nor end in school but, in fact, has to be continual, constant, unending, and lifelong. These are the qualities that our population needs now and that will become essential if California is to sustain its economic and social well-being.

With respect to Professors (teaching personnel), we need to know: 1) who they are; 2) why they are there; 3) what they want; 4) what they need to know; and 5) how to motivate them to keep learning and to improve the quality of their teaching. The training that academics receive, regardless of discipline or institution, does not formally prepare them for teaching. The reward system for academics usually does not support, much less promote it. Programs to improve teaching and learning are not central to the functioning of most institutions.

We need to create more environments that are conducive to learning retention: small; residential; good student/faculty ratios; good support - improve what we have as opposed to building new campuses.

We need to reduce, not increase, the barriers to access, whether they are procedural or financial - negotiating entrance requirements and filling out financial aid forms are not easy tasks.

We need to encourage, support, and reward good teaching. That is, we need to prepare faculty to be educators as well as scholars.

We need to assure that all American institutions reflect the diversity of our society. Towards that end we need to rethink how we decide who shall have the advantage of a University education. GPA's and test scores are not absolutes and should not be used unidimensionally in the admissions process.

Success in the sense of persistence is not a function of intelligence, rather it has to do with specialization, with sense of self, with whether the environment is a nurturing one or not. Look at how institutions that the University considers its peers admit their undergraduate classes and how they deal with them once there. It may help the University out of the dilemma it is currently facing; that is, the pressures that are building over an admissions process that, in theory if not in fact, admits students on the basis of GPA's and test scores in view of the fact that there are more students eligible than can be accommodated.

It is in our self interest as a society to make sure that the less advantaged are provided with the encouragement, the support, and the nuture that characterizes the experience of the privileged, that undergirds their academic development and their intellectual growth, and that assures their completion of programs of study.

B. Gerald C. Hayward, Director of the Sacramento Policy Analysis of California Education Center (PACE) -- Senior Lecturer in the Graduate School of Education, UC Berkeley, President of his own private educational consulting firm.

Dr. Hayward identified the following three major public policy issues he felt the Commission should address:

1. Resources -- How do we adequately fund higher education in California in the near and long term? The impact on enrollments of the "baby boom" generation; emphasis on K-12 expenditures (the most significant determinants of the quantity and quality of the potential pool of students will be the quality of their K-12 experience); back-log of capital outlay compounded by the GANN limit; movements to increase expectations and standards must include a concomitant investment in strategies to meet these new standards; California has dropped in the ranking of states from 14th to 45th in the proportion of personal income expenditures for education.

2. Education must be viewed holistically -- The Commission must view education in this state as a continuum and move beyond the segment-by-segment point of view; focus on the connection between and among the institutions and raise awareness of the K-12 connection. The nature of the current student information system is inadequate for assessing the effect of many educational reform efforts; we need to monitor movement of students into, among, and through the educational systems to determine the effectiveness of current policy. The current legislative charge to the California Postsecondary Education Commission should be looked at; enhance their ability to do research and make recommendations effecting linkages between elementary and secondary institutions and higher education institutions (perhaps CPEC should be renamed the

"California Education Commission"). Recommend against any major tampering with the governance structure; focus on removal of existing barriers to cooperation.

3. Focus a portion of our resources and energy on the quality of higher education instruction -- Determine the most cost effective ways of dealing with instruction.

The most important work of this Commission begins when its report is completed -- translating the findings of its report to Legislators, the general public, and public policy makers.

C. Patrick Callan, Director, California Postsecondary Education Commission

Mr. Callan urged the Commission to conduct its study of postsecondary education with the following characteristics in mind: 1) Are our institutions equipped to meet the educational needs of the state to the year 2000?; 2) Maintain a broad public interest perspective; 3) Limit the number of issues and problems to those on which the future must hinge; 4) The recommendations should not result in highly detailed or prescriptive policies for the future.

Mr. Callan identified the following issues he felt the Commission should address:

1. Mission -- What should each of the public institutions do? What programs shoud they offer? Who should they serve? Most institutions or systems can unilaterally set their own mission. Colleges and universities tend to respond more to their own internal aspirations than to public needs. The Commission should avoid turf issues and identify how the state's educational goals can be met and what role each system should play.

2. Current and future contributions of independent/private institutions -- These institutions have made enormous contributions to the state in terms of their diversity, quality, and competition and in terms of the students they educate.

3. Orderly growth -- The need and current capacity for planning is a serious problem that needs to be addressed (e.g., student aid and its influence on enrollment patterns; alternatives to expensive capital investment; telecommunications).

4. The role of higher education in supporting and sustaining the School of Reform Movement -- Programs oriented towards locating, supporting, and helping minority students get through the K-12 system and into postsecondary education; support for public schools in curriculum development; improvement of undergraduate education programs for all California teachers.

5. Undergraduate Education -- We know less about this function and how well it is performed in the schools than we do about anything else. There is a need for quality undergraduate education designed to maintain the democratic values of this country.

6. Who will teach our future college students? -- A large percentage of faculty will be retiring at the same time growth in enrollments is expected. How do we assure we have students interested in academic careers? How competitive will California be (e.g., faculty housing subsidies; scholarships; graduate work).

7. How do we manage and finance higher education? -- In our budget formula, should we rely more on incentives for quality; incentives to get institutions to meet broad social objectives as opposed to across the board funding (not at the expense of institutional base funding)? Is our capacity for experimentation and institutional learning across the segments what it should be? How are students and their families financing higher education in California today? Students will graduate with increasingly higher debt rates, which will make it more difficult to encourage them to go into moderately lucrative careers such as teaching.

8. Can and will California pay the bill?

The emphasis should be on teaching and learning -- the entire public policy environment should facilitate accomplishment of that mission.

D. Bill Honig, Superintendent of Public Instruction, State of California

Superintendent Honig's presentation focused on increasing the emphasis on intersegmental support and cooperation to meet the educational needs of the state. He emphasized the importance of taking a fresh look at undergraduate education and the need for a solid academic core curriculum at the undergraduate level continuing on from elementary and high school. We need to be assured that college students have: 1) sophisticated skills in reading, writing, and computing; 2) specialized skills in their major areas of study; and 3) a strong general education which helps them to understand basic cultural and democratic concepts and values. Superintendent Honig noted that some common themes for increasing the rigor of current undergraduate education include: What is the content of a common curriculum? How do we know whether it is being taught properly? What are the structural changes needed to bring about these reforms?

In addition, Superintendent Honig emphasized the importance of: 1) Recruitment and getting the message out to young

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people about teaching opportunities; 2) Teachers and teacher preparation programs; 3) Increasing and rewarding efforts to encourage the diverse student population in California to think about going to college, specifically with respect to minorities; 4) Increasing the number of minority teachers; and 5) The development of specific programs aimed at resolving these issues and getting existing programs organized and focused.

E. Marjorie Caserio, Chair, Intersegmental Committee of the Academic Senates; Chair, University of California Academic Senate

Marjorie Caserio informed the Commission that the Intersegmental Committee is a group of academic senate leaders from each of the three segments of public higher education in California. The Committee meets monthly for the purpose of jointly addessing matters of academic importance to all three segments. She distributed a paper to the Commission which provided background information on the Intersegmental Committee of the Academic Senates.

Ms. Caserio introduced Mark Edelstein, President of the California Community College Academic Senate, and Bernard Goldstein, Chair of the California State University Academic Senate.

Mark Edelstein's presentation dealt with the changing nature of the student clientele and articulation issues in graduate and undergraduate education. He stressed the importance of: 1) Developing funding strategies that would facilitate greater student learning, assessment, and development and further involve students in their own education; 2) Carefully examining other models, in consultation with faculty, to determine their effects on Calfornia postsecondary education; 3) Articulation - encourage the faculties of all three segments to work together; weaknesses in articulation programs cause great waste and redundancy in education; 4) In order to bridge the gap between excellence and a changing student clientele, we need to reach those students before they enter college.

Bernard Goldstein's presentation focused on the changing nature of faculty and academic governance. He emphasized the importance of the Commission working with the three segments to: 1) Examine faculty resources and future needs in order to promote thoughtful planning and sensible implementation of policies regarding faculty staffing and professional development; 2) Increase minority faculty hiring and retention; 3) A significant percentage of full-time professors will retire by 2000; without adequate planning we will face a serious shortage of highly qualified faculty; 4) Maintain faculty currency in the various disciplines; 5) Develop retention programs in cooperation with K-12; 6) Develop new pedagogical techniques;

7) Increase faculty involvement in the decisionmaking process and clarify institutional goals and missions; 8) How can we enhance the process of academic governance in the three segments?; 9) Is there an appropriate blend or balance of faculty at the system level in program review and evaluation?; 10) What is the faculty role in establishing budgetary priorities for academic programs?; 11) How do we strengthen intersegmental cooperation on academic and student issues?

Marjorie Caserio noted that although the University of California has more full-time students, those students are working and taking less credits than in the past. Thus, students end up taking five years or more to complete a four year baccalaureate degree program. She emphasized that graduate education provides the source of California's future teachers and its importance is unparalleled. The Commission must consider what it takes to support high quality graduate education (the best faculty, the best facilities, the best budgets). How do you get the better students interested in teaching? Ms. Caserio emphasized that the University of California and California State University depend on the Community Colleges for their transfer students, and the whole system depends on the University and State University for its future teachers.

F. Joshua Smith, Chancellor, California Community Colleges

Dr. Smith began his presentation by questioning the assumption that the Commission for the Review of the Master Plan for Higher Education should restrict its findings to a review of postsecondary education alone. Educational policy for the State of California should be written across the continuum. He suggested that the Commission consider the feasibility of lookng at the California Postsecondary Education Commission as the "California Public Education Commission." Noting that the Superintendent of Public Instruction serves on the UC Board of Regents and the CSU Board of Trustees, and the Master Plan Commission has proposed that the Superintendent also serve on the Community College Board of Governors, Dr. Smith asked why consideration should not be given to including the Presidents or Chancellors of postsecondary education on the Board of Education. Dr. Smith noted that although the Commission has neither the time nor the mandate to dig deeply into quality education in the K-12 system, it can look at the consequences of poor teaching, poor facilities, poor materials, bad budgets, and large class sizes, all of which impact on the three segments of postsecondary education.

Dr. Smith identified the following specific issues he would like to see the Commission address: 1) Develop educational policy that will assist institutions to organize curriculum and teaching strategies to cope with multi-age levels and multiple career changes; 2) Require greater contributions to the student support system; evaluate existing levels of student support; 3) Obtain a better balance so that teaching and administrative staffs think more about their responsibilities as professionals and less about their concerns as employees -- spend more time trying to find out what it is our students should be learning and how they should learn.

Dr. Smith, noting that California is not the only state facing these challenges, urged the Commission to avail itself of the expertise available in other states (e.g., Tennessee, North Carolina, Missouri, and New Jersey). He pointed out that the K-12 system in California labors under conditions that are almost intolerable, with class sizes that now rival Alabama, South Carolina, and Mississippi. Dr. Smith emphasized that, as the state with the 6th or 7th largest GNP in the world, California will have to make a better investment in its human capital if it is going to maintain that level.

G. Glenn S. Dumke, President, Foundation for the 21st Century; Chancellor Emeritus, The California State University

Dr. Dumke began his presentation by indicating his view of what the Master Plan is: "Efficiency and economy through specialization by segment." He emphasized that it is possible to alter any of the side issues, but the primary focus of the Master Plan itself -- differentiation of function through efficiency and economy -- should be left in tact. The Master Plan system is not a cast arrangement and was never intended to be. Dr. Dumke briefly reviewed the primary responsibilities assigned in the 1960 Master Plan to the University of California, the California State University, and the California Community Colleges.

With respect to the issue of a free-standing doctoral program at the California State University, Dr. Dumke expressed his opinion that such expansion should not be permitted without appropriate controls. "If free-standing doctorates are to be granted, the California Postsecondary Education Commission should decide on all future doctoral programs in both the University of California and the California State University segments. That would make them equal in terms of controls and give the California State University the opportunity to have free-standing doctorates, where qualified, while preserving the principle of differentiation of function."

H. Mary Metz, President, Mills College; Vice-Chairman, Board of Directors of the Association of Independent California Colleges and Universities

Dr. Metz submitted a statement to the Commission on behalf of the Association of Independent California Colleges and Universities. That statement is summarized in the following paragraphs.

AICCU believes the time has come for the State of California to recognize, through its higher education policies, the stake it has in the well-being of the independent colleges and universities, and to reflect more equitably the portion of the higher education workload independent colleges and universities carry. While California is rightly recognized for its three outstanding segments of public higher education, our state is fortunate also to be served by an independent, fourth segment known for high quality, rich diversity, and productive innovation. The great majority of our institutions are primarily engaged in residential, high quality undergraduate education. It is one of our major contributions to American higher education, and it is reflected in both student attitudes about our institutions and in their success upon graduation.

We believe the state benefits from diverse and competing visions of what higher education should offer. And the policies we urge upon this Commission would assure that diversity. We also urge that you consider carefully the special circumstances and needs of the fourth segment. The destinies of public and independent higher education in California are intertwined.

Consider the consequences of a severely weakened independent sector that constitutes approximately 25 percent of the resources the state has among the senior segments. If the state were responsible for educating students now enrolled in independent institutions, its higher education budget would have to be increased by $650 million annually. Furthermore, even if the state chose to take on these additional expenses, where would it educate the students? In institutions which have already grown beyond the optimum scale for high quality undergraduate education?

California's independent colleges and universities are caught in a severe financial squeeze as the result of high inflation, the tuition gap (the average price of tuition in the independent colleges of California is eight times the average price of public university fees), the decline in Federal and state sources of student aid, independent institutions have been forced to rely increasingly on their own funds to provide financial aid, and students have had to rely increasingly on the loan component of the financial aid package.

Some serious consequences of these developments are already in evidence. Recent enrollment trends indicate a shift of students from independent colleges and universities to the University of California. President David Gardner has cited the pressure of a tremendous upsurge in applications as the most significant issue now confronting the University, and has spoken of UC's obligation under the Master Plan to admit the top 12 ½ percent of the high school graduating class. And he points to the resulting need of the University to expand its faculty, support systems, and facilities to accommodate the enrollment growth.

Significantly, UC officials cite as one of the primary causes of the enrollment upsurge as its increased "take rate" from the pool of qualified students. They point out that this results in part from the increasing differential in cost between the independents and the University. We view this development as having very serious consequences and urge that the Master Plan Commission examine it carefully.

Accordingly, one of the issues this panel should address is whether the state should return to its original policy of having the Cal Grant maximum award cover 100 percent of average tuition at the independent colleges. We submit that such a program would be much less costly than construction of new campuses in the public segments, or the expansion of existing campuses to accommodate students who would otherwise be enrolled in the independent sector.

Just as we are concerned that a revised Master Plan include guidance on student financial aid, we also believe the successor plan should devise a system of intersegmental planning for capital expansion of the public segments in anticipation of enrollment growth. It is wise policy to assure that expansion of the public segments be coordinated at the state level in order to minimize cost. In our view, CPEC would be the appropriate agency for this function.

Policy changes along the lines suggested would help to assure that the resources of the independent colleges and universities will be used effectively, not only to the educational benefit of our students, but to the financial advantage of the taxpayers as well.

I. Tom Hayden, Assemblyman, California Legislature; Chair, Subcommittee on Higher Education; Member, Joint Legislative Committee for the Review of the Master Plan for Higher Education

In his presentation, Assemblyman Hayden emphasized the importance of the human capital approach to higher education -- What can or should be done within the framework of the Master Plan to improve higher education and enhance the educational skills of the majority of Californians? He identified the following areas as being extremely important to improving the human capital: 1) Talent development and "value added" approach to learning; 2) A budget system that rewards institutions for performance in improving the talent and learning levels of students; 3) A greater partnership in this endeavor between the University of California, the California State University, and the California Community Colleges. He expressed his opinion that this can be done in the framework of the current Master Plan, although some changes are inevitably necessary.

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Talent Development/Value Added -- (Example: One percent of the budget tied by formulae to performance; performance defined by the Board of Governors, Regents, and Trustees and the institutions would compete for those funds.) The budget battles are really augmentation fights on specific areas. There is no critical examination as to whether the budget for the previous year has anything to do with pedagogy -- improvement of teaching and learning in the institutions. A small percentage of the overall budget could be classified as a performance section and used to reward institutions. Access, retention rates, and improvement on tests over time could provide the mechanisms to prove that a value added function has been performed.

Partnership -- It will not be possible to make any progress in education with the distances that now exist between segments of higher education and the higher education and K-12 systems. The differentiation of function has created islands among the segments and there has been little communication. Less than one percent of the entire budget for higher education goes toward cooperative programs between the segments. We must find ways to reward or require cooperation in certain areas, such as the transfer function which is the key to making the Master Plan work in terms of educational mobility, minority access, data gathering, economic forecasting, demographic trends, and a planning process. The Master Plan, in its core assumption, offers a false promise -- you can get an equivalent education at a Community College to that of a four-year institution. There is no way lower-division transfer education can be equal given the per student costs at UC of $4,300, at CSU of $3,200, and at the Community Colleges of $1,700.

Higher education will have to pay more attention to how well it is preparing its teachers and to improving the quality of K-12 instruction.

J. Richard Moll, Executive Director of Legal Personnel and External Affairs with the New York based law firm of Lord, Day, and Lord; Former Dean of Admissions at UC Santa Cruz, Vassar College, Bowdoin College; Former Executive Director of the African Scholarship Program of American Universities at Harvard; and Former Assistant Director of Admissions at Yale College

Mr. Moll's presentation focused on the admissions policy of the University of California and what, in his view, is wrong with that policy based on: 1) How Harvard and Yale go about admitting a class, and 2) How other leading public institutions admit a class. The following represents a summary of his comments.

Students can gain admission to the University of California based on: 1) High College Board test scores alone (the College Board itself states that the test should never be used alone, but in concert with four years of secondary school training); 2) Grades alone; and 3) Each campus can admit 6 percent of its class by "special action."

With respect to issues of equality in admissions standards, an appropriate standard should focus on the four years ahead rather than the twelve years behind. A responsible public institution should give some credibility to the accomplishments of the person and not just test scores.

The way the University of California admits a class results in exraordinarily high cost. Although the Vassar applicant pool is about the same as UC Santa Cruz, the University of California hired three times more staff to admit the class.

Mr. Moll emphasized his concern that the University of California is slipping in status because of its admissions policy and a decision to serve its needs almost exclusively. "The University of California could be the public institute of the world, if it were to become more national and lead the way to a democratic admissions policy."

K. Susan Brown, Director of Higher Education Programs, Mexican-American Legal Defense and Educational Fund (MALDEF)

Due to personal reasons, Ms. Brown was unable to give her presentation as scheduled. Dr. Kerschner indicated that staff would try to provide an opportunity for Ms. Brown to address the Commission at a later date.

The foregoing presentations were followed by a question and answer period with Commissioners. Some of the major policy questions raised in those discussions are outlined below:

K-12 -- What should the Commission's charter be with respect to K-12? What can be done to create linkages? What is or should be the relationships of the K-12 system to postsecondary education, particularly in the area of curriculum, teacher preparation, and recruitment of qualified teachers? What cooperative programs, if any, between the K-12 and postsecondary education systems currently exist? Since CSU produces about half the K-12 teachers, is there a more significant role it can play in solving the K-12 problems? What is the impact of the changing demographics on the K-12 system?

Learning -- How can we provide the broadest educational experince necessary to fully integrate students into society and enable them to adapt to changes in the jobs of today and tomorrow? Does a "residential" learning environment enhance learning and retention and improve teaching? With respect to quality instruction in higher education, what do students need to learn that is not being offered now? What are some alternative delivery systems? Should an incentives program be developed that would encourage institutions to admit underachievers and provide rewards if they show measureable progress?

Transfer -- Given the differences in curriculum requirements and the lack of clear reciprocity between the university campuses, what are the chances that students entering Community Colleges are going to be able to determine transferability to a university campus. Can some compatibility be developed?

Teacher Education -- What prevents the best students from entering teacher education as a profession? How do we encourage qualified individuals to come back into the teaching profession? What kinds of programs or policies, if any, must the state implement to improve undergraduate education? What changes, if any, in the current teaching methods are needed? What is or should be the appropriate role in teacher education for the California State University, the University of California, and the California Community Colleges? With respect to the use of graduate student assistants in teaching undergraduate education, what are the advantages? What are the disadvantages? What is the impact of student/faculty ratios on the quality of teaching? What are the cost implications?

CPEC -- With respect to changing the California Postsecondary Education Commission's name to the "California Public Education Commission," what would its charge be? What would it look at? What would it study?

CSU -- What is the appropriate role for the California State University, if any, in the provision of free-standing doctoral programs? Research? What are the cost implications?

UC: -- What problems, if any, does the current admissions policy of the University of California pose? What is the impact of that policy on minority access?

Independent Institutions -- Independent college and university tuition levels tend to rise in proportion to the amount of aid dollars they receive; what can be done about private institutional controls over their own tuition levels?

General -- 1) How can the Commission deal with "turf" issues? How do we bring those issues out and deal with them in reality?; 2) How does the Commission deal with the "political realities?" What can the Commission do to help educate Legislators about the importance of these issues?; 3) How does California's spending for higher education compare with other states?

Subsequent to the presentations and discussions, it was agreed that staff would provide data as to what California spends on higher education as compared to other states on a per capita basis. In addition, Commisioner McCuen asked staff to provide information on whether California is actually spending less on education per

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capita than it was prior to passage of Proposition 13 (in all forms of taxes); are we spending less in taxes entirely or is some other segment of the public sector getting these funds? Commissioner Rothner stated that in addition to investigating the extent to which the budget has decreased, the Commission should investigate any correlation between that and the size of the class (student/faculty ratios).

5. June 17-18, 1986 Commission Retreat

The June 17-18, 1986 meeting of the Commission has been set aside for a retreat so that Commissioners may discuss among themselves, in a relaxed atmosphere, the major issues to be addressed in the review of the Master Plan. The retreat will take place at the Kellogg West Center of the California State Polytechnic University, Pomona. It will begin with a reception and dinner on Monday, July 16 at 6:00 p.m. and conclude after lunch on Wednesday, June 18, 1986. Dr. Ann Reynolds, Chancellor, The California State University, is tentatively scheduled to address the Commission on Tuesday morning.

There was some discussion regarding the extension of the current legislative deadline (January 1, 1987) for submission of the Commission's report on the Master Plan for Higher Education. It was agreed that once the Commission has established the issues and priorities for the study, it will be able to better determine an appropriate reporting date. Staff noted that legislation will be sought to extend the current reporting deadline.

The meeting of the Commission was adjourned at 2:50 p.m., Wednesday, April 23, 1986.

May 21, 1986
Date

Lee R. Kerschner, Executive Director

NOTE: Subject to Review at Next Commission Meeting

Commission for the Review of the Master Plan for Higher Education
Sacramento Convention Center
Yuba/Placer Rooms
Sacramento, California
May 20-21, 1986
Minutes

Commissioners Present	J. Gary Shansby, Chairman; William D. Campbell, Vice Chairman; Seth Brunner; Henry Der; Patsy Estrellas; Harvey Hunt; George David Kieffer; Meredith Khachigian; Peter McCuen; Glenn Rothner; Edward Mosley; Harold Williams(5-20)
Commissioners Absent	Claudia Hampton; Felix S. LeMarinel; Michael Peevey; Ray Remy
Staff:	Lee R. Kerschner, Executive Director; Jerome Evans; Julie Fahrenbruch; Murray Haberman; Robert Palacio; Ronald Saufley

Call to Order

The meeting of the Commission for the Review of the Master Plan for Higher Education was called to order by Chairman Shansby on Tuesday, May 20, 1986 at 9:15 a.m. in the Yuba/Placer Rooms of the Sacramento Convention Center, Sacramento, California.

1. Approval of the April 22-23, 1986 Commission Minutes

Action: It was moved, seconded, and carried that the Commission approve the minutes of the April 22-23, 1986 meeting as distributed.

2. Chairman's Report

At the Chairman's request, Dr. Kerschner reported that the video tapes from the April 22-23, 1986 Commission meeting will be available shortly. Dr. Kerschner noted that the May 20-21 presentations are being taped through the courtesy of California State University-Sacramento.

Dr. Kerschner introduced Ronald Saufley, a new member of the Commission Executive Staff. He noted that Mr. Saufley, who previously served as Special Assistant to the President of Tougaloo College, Mississippi, will assist in the research and development of the California Master Plan for Higher Education.

Dr. Kerschner announced that the presentation by Dr. Ann Reynolds, Chancellor, California State University, has been rescheduled from the June 1986 Commission retreat to the July 1986 regular Commission meeting. Details will be provided in the agenda mailing for the July meeting.

Dr. Kerschner reported that Clark Kerr, President Emeritus of the University of California, will not make the presentation to the Commission originally scheduled for May 20 at 10:00 a.m.

3. **Background Paper Number Two - The Demand for Postsecondary Education in California to the Year 2000**

The second in a series of background papers designed to assist the Commission in its deliberations on the Review of the Master Plan for Higher Education was included in the agenda. The paper focused on the growth and changing composition of California's population, 1960-1985 and 1985-2000; regional differences in projected growth, ethnicity, and age distribution; economic and employment trends; postsecondary education enrollment growth 1960-1985; enrollment projections 1985-2000; and implications for public policy.

These papers will eventually be compiled in a collection of background papers that will accompany the Commission's recommendations on the Master Plan.

Dr. Kerschner noted that the first paragraph on page 9 (Background Paper Number Two) which indicates that there are 350 independent degree granting institutions in California, will be amended to distinguish between the A, B, and C categories and provide a brief explanation of those types.

4. Special Presentations

The presentations and discussions with Commissioners were video taped with the assistance of the California State University, Sacramento. The tapes will be made available to institutions or organizations in the State wishing to review them.

The following paragraphs provide a list of the speakers and a summary of their presentations regarding the major educational public policy issues they believe the Commission should address in its review of the Master Plan.

A. Richard Moore, Superintendent, Santa Monica Community College District

Two major educational public policy issues that the Commission should address in its review of the Master Plan are "research" and "teaching."

Let me start by acknowledging the significant role that California research universities have played in the development of ideas and to the growth of knowledge. Through the leadership of its four research universities (Stanford, California Institute of Technology, UCLA, and UC-Berkeley), California has dominated much of the national scene in university research. Let me also acknowledge the role of university research in influencing economic growth, an especially important phenomenon in California. There was a golden period from 1945-1970 in which California and America led the world in most research endeavors. This golden age of ideas was followed by a 15-year period during which the results of research no longer placed the nation in the top position in the competition for ideas. Instead of being the premier research nation, America slipped and became one of the top five research nations. This change was mirrored by our business developments.

If the Commission wishes California and this nation to regain its competitive edge in research and ideas, and if this Commission wishes to materially increase the number of Californians graduating with a baccalaureate degree, then the Commission should consider the following structural changes:

1) The UC system should accept singular responsibility for research and should minimize and/or eliminate undergraduate education at a number of its campuses.

2) The CSU system should accept the responsibility for coordinating the instruction of students from the ninth grade through the Master's degree. Such coordination would directly involve local community colleges and high schools. Instruction at the high schools should include community college work, while instruction at the community colleges should include four-year CSU work. Faculties of all segments should be the primary coordinating body.

A logical addition to this model is that the CSU should begin to offer the teaching doctoral degree as part of its function as a teaching university. It should do this to complement its graduate instruction as a teaching coordination university. This should not be viewed as competition with the UC, as the UC chould continue to offer doctorates in research education, but not teaching doctorates.

Finally, the Commission should consider the following partnerships:

1) The UC system should create new partnerships for research with both the business community and nonprofit organizations.

2) The CSU system should create partnerships for instruction with the community colleges and the high schools.

I believe in our future - our common future. I trust that you will hold high expectations for our faculties and for higher education. We have served California well, and if challenged we can return to our premier position in teaching and in research. That challenge is yours for the naming. May it be noble.

B. Clark Kerr, President Emeritus, University of California

In a letter to Dr. Kerschner, Clark Kerr expressed his regret that he would not be able to make a presentation to the Commission:

"For nearly 20 years I have followed a policy of non-involvement in current public policy issues uniquely related to the University of California although being actively involved in educational issues outside this area. I have decided to remain with this policy and have reluctantly concluded that my appearance at your hearing might lead me into this restricted area, and so I am withdrawing my earlier indication of a willingness to participate. Sorry to do so at such a late date but I had not really thought through the implications of participation until I started to prepare possible remarks. Good luck with your assignment."

C. Lewis H. Butler, President, California Tomorrow

Given the changes in society and the State over the past 15 years, postsecondary education has become the most important issue facing this state. California has become a multi-racial society. The potential benefits from that society are enormous and the potential strains are also great. The most obvious public policy that has some influence is postsecondary education, which also represents a major force for bringing these diverse societies together. There is no question that California is the economic capital for the 21st century. A diverse population is a hugh advantage.

According to the last census, 30 percent of the people in Los Angeles county speak a language other than English at home; 2/3 speak English very well or well - everybody should be bilingual. The incentives to learn English are so enormous that we do not need to worry about that issue; we do need to worry about how to teach English as fast as possible. We are in danger of ending up with a two-tiered society; it is important that people from all segments and groups get into the postsecondary education system.

How can we keep society together and what happens to future generations? -- 1) Declare that the present pattern cannot continue; 2) Recognize that the first line of attack will be K-12, but we cannot wait for that to happen; 3) Take a serious look at this as an integrated system, not three separate components (knowing that, particularly for Hispanics and Blacks, they have to come up through the Community College level makes the transfer function essential - concentrate every effort, financial and otherwise, on programs that will help that process); 4) Give preference in admissions requirements to bilingual students; 5) Emphasize undergraduate education; 6) Identify students in the ninth grade and encourage them to go into college; 7) Develop an incentives or reward mechanism for students, teachers/faculty, and institutions.

D. Dennis Doyle, Education Studies Director, American Enterprise Institute

The future arrives early in California. What this Commission does is of extreme importance nationally and your issues should be framed in the national context. Higher education across the nation is in terrible trouble due to elementary and secondary problems rippling forward, changing demographics, lowered standards, and increasing costs. Private sector institutions are at substantially greater risk than the public sector as the financial pressures will be even greater for them.

Standards in colleges and universities are extremely important, since they are the standard setters for elementary and secondary schools. It is clear to most in the business community that our capacity to compete in the global economy depends on the production of minds -- education.

The Commission should address the following:

1) Stress the critical importance of higher education as the gatekeeper of quality. The price of remediation when a child is 18 is simply too high -- the capacity to analyze, critical thinking, problem solving, etc. are intellectual processes that begin in adolesence and middle schools. We must recognize this in society.

2) The role of community colleges has to be examined - prepare students for transfer to four-year institutions or the world of work.

3) Full cost pricing - income distribution of students. Families should play a more active financial and intellectual role in their childrens education.

4) The relationship of public and private institutions -- small private colleges are coming under increasing pressure as the publics have an unfair competitive advantage.

5) Washington, D.C. is getting out of the domestic policy game -- The Commission could play an important role in communicating with Washington. The existing system of student financial aid is in serious disarray. Let Washington know what you think makes sense in terms of its role in student financial aid.

6) The business community believes a vigorous and effective education system is of absolute importance, as evidenced by the fact that they spend $30 to $150 billion a year on education and training ($210 when you include on-the-job training programs). The business community is worried about being able to get people who know how to think and do problem solving, as well as meet their trade/technical needs.

E. Richard Peterson, Sr. Research Psychologist, Educational Testing Service; Kathy Lusk, Western Regional Coordinator, Council for Adult and Experiential Learning

(Mr. Peterson noted that he was speaking on his own behalf and not on behalf of the Educational Testing Service.)

Mr. Peterson and Ms. Lusk made a joint presentation which focused on the changes they believe necessary in the Master Plan to better serve the educational interests of people beyond the traditional college age. (Excerpts from a Ford-UAW-CAEL project film on how education pursued relatively late can make a tremendous difference in peoples' lives and how diverse organizations can collaborate to good effect, was shown during their presentation.)

The following issues related to improved educational services, particularly for potential adult students were identified:

1) The need for a single education plan to facilitate smooth and orderly movement of individuals from one level to another throughout their lives.

2) The need for expanded and collaborative planning with other agencies for which formal education is not a primary function (CPEC should take the initiative and be funded to do so).

3) The need for regional planning.

   Kathy Lusk presented a paper on "Public/Private Partnerships: A Regional Commitment" which offered the following recommendations for Commission consideration:

   (a) The position taken on recommendation #20 of the Commission's Community College document be strengthened. For the benefit of the adult learners in the State, there must be a plan to assist the institutions of higher education in building these regional bridges. Suggesting that these two sectors choose to cooperate ignores the economic theories associated with group dynamics. Setting forth guidelines for regional planning such as the formation of third party entities that are unbiased, recommending funding support, and training leaders to function in these roles would strengthen the chances for successful partnerships.

   (b) The second point is that the Commission consider recommending that the State of California follow the lead of other states (Pennsylvania, Oklahoma, North Carolina, and others) to establish a financial incentive program, such as the Ben Franklin Partnership in Pennsylvania. This State fund would encourage joint ventures between education and industry by providing a percentage of the funds necessary to design regional partnerships between educational institutions and businesses to promote the training and/or retraining of adults to strengthen this State's position in economic development.

4) Improved instruction for undergraduates of all ages. Big campuses broken down into smaller academic units; an Emeritus College within a college; residential rather than commuter campuses; dormitories reserved for older students; hiring of professors with demostrated interest in teaching, including teaching of older student. New academic programs may be need; counseling and other support services may need to be extended into the evening; registration and other bureaucratic procedures could be simplified; childcare centers might need to be established or expanded.

5) New statewide programs primarily for older students. A system or network of information and counseling units around the State; a new type of college intended mainly for adults whose work or family situations make it difficult to attend regular classes; a credit validation service.

6) The need to counteract the build-up of an educational underclass.

7) The need for a comprehensive State job training program. CPEC and segment leaders should seek to collaborate with state job training agencies and with business groups and labor unions to fashion a comprehensive job training and retraining program for the State.

8) Continuing professional education that assures continuous professional competence.

9) Issues of quality and quality control. If the new Master Plan specifies a value-added approach to accountability, implementation should begin with one or two pilots in each of the segments.

10) Financing higher education. The new Master Plan should call for: a) setting up a Fund for Innovation, administered by CPEC, from which campuses and regional planning bodies could solicit funds for new types of programs; b) performance funding; c) Cal Grant program expanded and financial aid made more accessible to older and part-time students.

11) On California's three-tiered higher education system - I merely ask whether you care to question the appropriateness, the effectiveness, of the existing stratified arrangement.

F. California State Student Association

(Note: Both student representatives indicated they were not representing an agreed upon position of their respective student organizations, but stated they have discussed the various issues and believe their remarks reflect the feelings of the majority of students.)

Celia Esposito, California State University, Student Representative

The Commission must recognize the role of undergraduate education as the primary strength and function of the California State University. CSU has the responsibility to improve the quality of undergraduate education and should place high priority on student/faculty interaction.

What can we do to ensure access when K-12 needs reforms in order to meet CSU expectations for admission? One possible revision is that students could be eligible according to district eligibility standards; school district pools as opposed to a State pool. This would create a more diverse eligibility pool and increase the numbers of Hispanics and Blacks at CSU.

CSU students have been very concerned about the proposal to offer a doctorate. Students do not necessarily oppose the doctorate in education, because we believe CSU is as qualified as any other institution to offer it. We are concerned that resources and attention currently directed at the undergraduate programs will be turned toward the graduate programs.

Financial Aid - not only is the initial application process extremely difficult to understand, students are also going into debt trying to pay back student loans. This is also a factor as to why students do not go into public service professions, especially teaching, which do not pay well. Incentives in the pay back process of Guaranteed Student Loans might entice students to enter the teaching profession.

The Commission should consider (a) replacing standardized tests with diagnostic tests, (b) the CSU curriculum should include community work as part of everyone's major, (c) the CSU is in need of educational support services in the Master Plan, and (d) the CSU should keep small, personalized class settings and not use teaching assistants.

California should continue to provide low cost, quality education to all seeking it regardless of the obstacles they have had to face.

Chris Cabaldon, University of California, Student Representative

Our first two areas of concern deal with California's historic promise to its citizens that those who are able and interested can obtain a free education in a public college or university. What has happened to this promise? Today, UC students pay over $1300 in fees each year. Between 1979 and 1983, fees went up $651 or 94 percent.

In addition, the Commission should carefully examine admissions practices in the public universities. The existing criteria -- subject requirements, GPA, and standardized tests -- should be carefully scrutinized for both the potentially biased impact on certain ethnic and cultural groups and predictive value for all individuals. The burden should be on the institutions to prove that the criteria select those who can succeed, and, equally important, that they do not select against those who could succeed.

The quality of undergraduate education has recently received a great deal of attention. While we should expect people with baccalaureate degrees to have a well rounded education, we should not expect students to spend up to two years in generalized study if they have a major which requires up to five years of specific courses.

We also hope you will examine the process of teaching as well as what is taught. Faculty and teaching assistants receive little or no instruction on how to teach, although they are taught how to do research. The State should decide what level of support it is ready to provide to ensure a solid education for its students.

A related and perhaps more essential issue is the balance between teaching and research. The University is recognized as the research institution for California and much of its international and national reputation stems from successful research. To an undergraduate it sometimes appears that research is the overriding concern of the University. Yet, we form the majority of the student population and most State financial support is predicated on our enrollment levels.

As the Commission looks at the institutions' efforts in affirmative action, we urge you to focus on the problems within higher education and to look for subtle as well as overt impediments to the success of underrepresented students. If the University and the State are really committed to eliminating sex and race lines at every level - undergraduate, graduate, and faculty - so that our universities are reflective of and able to serve the State's population, then some way must be found to crack open the graduate recruitment and faculty hiring and tenure processes. The solution to underrepresentation goes far beyond increasing the pool of eligible high school graduates.

UC students look to the Master Plan Commission to vigorously and creatively examine and address the issues surrounding our higher education system. Some of the questions we hope you will consider are:

> Do the admission standards actually result in the admittance of most students who can benefit from a college education? Are the standards biased? Are there better alternatives?
>
> Are our universities really tuition free? What is the impact of redefining or abandoning the State's historic promise of free education?
>
> Is a mandated breadth curriculum the best approach to a generalized education? Is there a better way in a multi-dimensional and changing society?
>
> What are the best methods of conveying knowledge? What resources are necessary to do this? Is the State willing and able to provide the support required for improvements?
>
> What are the overt and subtle factors that keep underrepresented groups out of every part of the University? What are the best solutions?
>
> How do we measure quality? Do our current definitions of quality and the insistence on getting the "best" serve or work against the needs of the State?

We encourage you to look at the role of students when you discuss institutional governance. If students are not given a legitimate voice in the institution, they only learn that what is said in the classroom has no bearing on the real world.

G. Samuel Kipp III, Executive Director, California Student Aid Commission

The original Master Plan, aside from a brief mention of the then small State scholarship program, virtually ignored the role of financial aid in helping foster educational opportunity for California's citizens and focused instead on no tuition, low fees, and geographic proximity as the primary means to assure access. Yet in the current era of rising college costs and sweeping demographic change, California's capacity to achieve many of its goals for postsecondary education over the next quarter century will depend on how well we address key issues of financial aid and student finance today.

In 1985, financial aid for California students totaled $1.5 billion. Taken together, the programs administered by the Commission provide more than 60 percent of the financial aid available in the State and help more than 300,000 needy California undergraduate, graduate, and professional students finance their education.

The convergence of demographic, social, and economic forces is driving the need for increased financial aid and creating the context for meeting the need.

- In the past five years, the cost of attending college in California increased more rapidly than the rate of inflation and faster than the growth in family incomes or in families' capacity to pay.
- The federal era is over and states will have to reassume a greater role in promoting, improving, and providing access to postsecondary education.
- At the same time, the Gann cap on State expenditures limits California's ability to respond to reductions in federal support for higher education, and it undermines the State's capacity to undertake significant new program initiatives.
- The increasing dependence on borrowing, particularly at independent institutions and among graduate and professional students, points to the need to examine the whole question of accumulated indebtedness among California students and to determine what constitutes a manageable burden and what impact heavy borrowing has on student career decisions and other life choices.
- The failure of federal and State aid resources to cover their traditional share of college costs places a tremendous burden on institutions to increase their own financial aid. Since institutional aid funds in the independent sector are generated by higher tuition and fee charges this process sets off a vicious upward tuition spiral and a widening price gap between independent and public institutions.

Reducing financial obstacles and providing students opportunities to attend institutions that best suit their needs are major State goals and the primary purposes of student financial aid. Yet, if California is to meet the challenges it faces over the next quarter century, this Commission will need to explicitly address a number of critical issues:

- First and foremost the Commission needs to recognize that almost everyone who works in education perceives it as a set of discrete institutions working in isolation from each other. If we are to succeed in fully developing and expanding California's pool of talent, skill, and intellect, we will need to recognize that education is all one system.

- The financial aid application process and delivery system is overly complex and confusing. One of the keys to simplifying the application process and assuring the highest level of quality service involves efforts recently begun at the Student Aid Commission to automate its grant and loan programs and eventually create an integrated system for financial aid delivery.

- Without adequate information on how to overcome the financial obstacles to higher education, many underrepresented students are not likely to undertake the more demanding courses they will need to enter higher education and to ultimately graduate.

- The number of needy State grant applicants for the 1986-87 academic year reached an all-time high, and despite recent increases in the number of authorized new awards, at least two qualified, needy applicants are turned away for every one who receives a Cal Grant.

- Whether the major growth in higher education enrollments predicted by 1990 is accommodated primarily in public higher education through substantial increases in capital outlay expenditures, or in both public and independent institutions through increases in financial aid funding is an issue that deserves much greater attention than it has received to date.

- California, as well as the rest of the nation, will have to find an effective way to attract and train high quality graduate students and faculty, since about half of our current faculty will retire in the next fifteen years. California should consider taking the initiative in this crucial area by expanding and restructuring its Graduate Fellowship Program and carefully coordinating that effort with other initiatives from the University and the independent sector.

- Because of increasing dependence on loans and mounting concerns over levels of student indebtedness, the issue of student work has gained importance in the student-aid debate and over 30 states have created or are considering work-study programs. A pilot State work-study program (SB 417) for California would help forge important links between higher education and the private sector, and emphasize meaningful jobs linking students' majors with longer term career interests.

- Some higher education institutions are now finding it necessary to offer various creative financing plans of their own to make themselves affordable to many of their traditional pool of potential students.

The Commission has a tremendous opportunity to make an enduring contribution to California higher education by adopting an explicit statewide financial aid policy.

H. J. Herman Blake, President, Tougaloo College

(Note: Dr. Blake's presentation was originally scheduled for 10:00 a.m., May 21. Due to an unavoidable delay, his presentation was made at the end of the day.)

Regardless of the circumstances under which students come into our institutions, we must teach and graduate those students. Increasing access to higher education is not enough. Access and true equity require that colleges and community colleges offer high quality programs to all diverse population groups. Underrepresented minorities have been tracked into vocational programs, nontransfer community college programs, and academic programs of dubious character. Why do so many underrepresented minorities go to community colleges and so few graduate with BA's from state colleges and universities? Retention and graduation must take as much significance as issues of access.

Increased access, equity, and quality in American higher education requires that every level of every institution examine their assumptions, attitudes, and treatment of underrepresented minority students. If we place higher expectations on students we must place higher expectations on ourselves. We want to see minority students succeed, but fail to see the degree to which we are part of the problem. We have decided to develop programs and activites designed to make students more acceptable to the institutions -- we assume all problems are brought in by students and, therefore, the institutions must sufficiently change the student to fit into the environment. Underrepresented minorities enter our institutions with substantial strengths which can be utilized for both individual and institutional success. We must think in terms of an assistance model of assumptions leading to very different institutional attitudes and behaviors, as well as increased student performance.

1) Determination -- recognize that many students come out of difficult circumstances and do not have the best levels of preparation. Therefore, we must develop a strong commitment to overcoming their difficulties. The range of options available if they do not succeed is not only limited but often undesireable.

2) Creative and supportive environment -- students who have positive faculty reenforcement will attempt very challenging courses until they eventually succeed. When faculty and administrators recognize and support these strengths, they can become partners with students in educational endeavors. Students eventually see that the expectations of faculty, when designed to improve student performance, are in fact signs of respect for their intellectual ability and a positive response is inevitable. The present emphasis on academic reform and access does not really deal with those positive conditions which increase retention and graduation.

3) Funding formulaes -- this Commission should give attention to funding formulaes for institutions in the State which take greater cognizance of performance levels in terms of graduation and underrepresented minority students; performance levels based on retention, graduation, and also performance on standardized tests.

What constitutes a substantive institutional commitment? Do pockets of progress exist? If so, call attention to them -- begin to establish a gestalt. Higher education can do a much more effective job of educating underrepresented minority students.

I. Frank Newman, President, Education Commission of the States

Undergraduate Quality -- How can states create new policy incentives that address undergraduate quality by getting institutions to come forward with new approaches? How can states assess the quality of undergraduate education? How can it be measured? Do students have adequate knowledge base? Do students have the kind of creativity and imagination and risk taking that is necessary to deal with the world ahead, which is increasingly entrepreneurial?

Minorities -- What percentage of all college students are either Black or Hispanic? Look at how people do once they enroll - you will find not only is there a substantially higher attrition rate of such students, but that it is getting slightly worse when it should be getting better. Nationally we have turned our back on this issue.

Higher Education and School Reform -- We appear to be headed toward a new wave of school reform, but how do we actually change the quality of what happens in the classroom? That will require more exciting schools, teachers, and leadership which changes the dynamics of the school. It is very hard to mandate that from the outside. If we are going to have exciting schools and attract people to teacher education it is more than a question of pay. It needs to be a place where people will want to spend their lives. School teachers can play an integral role as adjunct faculty - schools and colleges must be more formally linked. This will require considerable change on both ends.

Student Aid -- We tend to assume when students "get dollars that helps" and "lose dollars that hurts." The form in which students get the dollar has a lot to do with personal development as well as education. You can rank student aid in the following ways:

1) The best forms of student aid are those in which students perform some form of public service (GI Bill, ROTC, etc.). The notion that individuals have a responsibility to the country and the community is now widely lacking.

2) When students work between 15-20 hours per week they become better students; does not interfere with the students' education, but enhances it. They learn responsibility, value of self, and grow intellectually.

3) Grants are relatively neutral in educational outcomes.

4) Loans create many counterproductive measures if not in reasonable amounts. Students tend to dropout more frequently the more they borrow. In addition, excessive loans are beginning to have an effect on the economy.

Student aid is an educational rather than financial issue.

Institutional Mission -- State relationship with state universities - What are the missions of the different institutions? What are the institutional ambitions that drive those into overlap and confusion? California has clear separation of mission by law. That is an advantage you do not fully appreciate. Despite the large numbers of institutions your system division has served you well. Attempts to merge into one system will make it much harder to get institutional differentiations. That is a counterproductive force. Think hard before moving away from the tripartite division of mission - one wants strong institutional ambition but, for example, the research university has very different kinds of faculty and resources. There are almost no experiences nationally with success in one or two Ph.D. programs. In a Ph.D. program you spend an enormous amount of energy and time in the assessment of that candidate. The character is different - that is one clear distinct mission.

The issue is not to have the states or system offices play no role. In fact, they need a strong role - but the right one. Institutions left alone tend to be self-serving. We need forces that bring about change, but leave the initiatives to the institutions.

J. David P. Gardner, President, University of California

When we discuss the Master Plan, we are really talking about an educational blueprint that sets forth with remarkable foresight, clarity, and coherence a broad framework within which public higher education in California was to develop and do its work. Just as we need to keep in mind what the Master Plan seeks to accomplish, we also need to keep in mind what it does not seek to do. For example, it is not the means of sorting out conflicting opinions about what students should learn, how faculty should teach, what researchers should investigate, or what course requirements should lead to which degrees. It does not delineate how many colleges and universities California needs, or where they should be located, or how small or large each should be, or how they should be financed. The Master Plan established a context and a framework within which these and other such crucial issues could be rationally addressed, as free as possible of political and sectarian influences.

Let me turn to the issues that I believe deserve most of the Commission's attention:

First, we need to think very hard about how to offer the broadest possible access to California's culturally and ethnically diverse student population. We must make a more enduring commitment to the improvement of schooling for all of our young people, taking into more explicit account the social, economic, ethnic, and other factors that bear upon the adequacy of schooling. We should not address that question, however, by fundamentally changing the current Master Plan provisions that assign the top one-eighth of high school graduates to the University of California, the upper one-third to the California State University, and preserve open admissions in the Community Colleges. But, there is one dimension of the access question that I believe warrants your attention -- the relationship between higher education and K-12, and their obligation to work more closely together, have even greater significance now than they had in 1960. Higher education has a responsibility to help here -- not as critics but as colleagues and partners, working together with the schools to improve teaching, to strengthen the elementary and high school curriculum, to reduce student attrition, and to bolster student preparation for work or further education.

Along with the independent institutions, the California State University, and the Community Colleges, the University of California is presently making a major effort along these lines. (A document entitled "The University and Precollegiate Education in California: Inventory of Collaborative Projects", March 1986, was distributed to Commissioners.)

Second, as you consider issues related to mobility and the transfer of students between and among segments, I urge you to consider that the solution will not be found in simple, mechanistic approaches, because they fail to take account of the variety and diversity of undergraduate education in the State's colleges and universities. This diversity is not a weakness but a strength. It permits students to fit their special interests, needs, expectations, and personalities to an environment that will nurture and develop them.

We can and should look for ways of stripping from the system unreasoned and irrational barriers and other impediments that serve the convenience and interest of the institutions rather than those of the student. At the University, we are currently involved in a number of successful campus-to-campus efforts that could serve as models for improving the transfer process, one of which is the ASSIST computerized information system pioneered cooperatively by our Irvine campus and Los Angeles Harbor College.

Third, the quality of undergraduate education is an area of critical importance, both locally and nationally. It is timely and appropriate for the Commission to inquire about the nature and character of undergraduate education offered by California's colleges and universities. In response to concerns expressed in four national reports -- and to concerns that have been made evident closer to home as well -- I have appointed a University-wide task force to examine UC's lower division education. We expect this review will be available by summer or early fall and will provide copies to the Commission.

Fourth, reaffirming the Master Plan's differentiation of function among the three public segments of California higher education is of overarching importance to the future of higher education in this state. Yet, the assignment of special tasks to each segment has not meant that each operates without regard to the others. The California Postsecondary Education Commission provides a built-in corrective to any fragmenting tendency of the segments themselves. The differentiation of function among the segments is the linchpin that holds the Master Plan together. If the State should alter this aspect of the Master Plan, then quite simply we will have no Master Plan at all.

Fifth, we very much need to reinvigorate the role of the independent colleges and universities in California. The Master Plan cannot work as it was intended to work if our state's fourth segment -- the independent colleges and universities -- is less than a fully vital and healthy partner in California higher education. Of most immediate importance will be the need to close the tuition gap -- the difference between the cost of tuition and fees for students at public institutions with those at independent ones. I do not favor dramatically increasing fees or introducing tuition for California residents in the public sector in order to close this gap. Instead, I believe the Commission should recommend a return to the State's original Master Plan policy of having the Cal Grant maximum award cover one hundred percent of average tuition at the independent colleges. Public higher education in California has a critical stake in the well-being of the independent colleges and universities of our state, and I hope the Commission will consider this aspect of the Master Plan explicitly, and with sympathy for the present condition and future vitality of California's independent sector.

Sixth, cooperation among California's postsecondary institutions will take on increasing importance in the years to come. The number of joint efforts have increased dramatically in recent years. One example is the recent appointment of an intersegmental planning committee for the public segments to coordinate their budget initiatives. But, the Commission should ask for evidence that the Master Plan has indeed evoked the kind of intersegmental cooperation its authors intended. It would be useful if the Commission were to inventory the kinds of collaborative projects that now exist and suggest areas where, in your considered opinion, further opportunities for cooperation remain.

Seventh, the Commission should include in its discussion some consideration of the growth that is likely to occur in higher education and the resources that will be needed to accommodate that growth. Some assessment of how growth can be expected to distribute itself across the segments, how to address the long-deferred capital needs of higher education, and how to do so despite such potential constraints as the Gann expenditure limit are all questions we very much need to be thinking about. Even if these matters may not be technically encompassed within the Master Plan itself, they bear directly upon the prospects for the success of all that you are considering. This is all the more important because our goal to the year 2000 must not be simply to accommodate growth, but to accommodate it while extending and preserving the quality that has been the hallmark of higher education in this state -- and which the Master Plan has been so instrumental in creating and protecting.

K. Donald Kennedy, President, Stanford University

Historically, Americans have liked to think of their nation as one that respects intellect, nurtures literacy, and is devoted to the highest of human attainments. Yet, the hard numbers show that in recent years we have systematically neglected our obligations to the development of national intellectual resources. Although we would probably describe our society as youth-oriented in the best sense of that word -- that is, as a society in which young people are looked upon as resources for the future and are treated accordingly -- we have been redirecting our society's resources away from the young people and toward those at the other end of the life cycle. For example, expenditures on health have grown 50 percent larger than those for education. Even considering that the proportion of the elderly in the population increased during this period, the enormous shift of expenditures from the young -- for the most part the objects of education -- to the elderly -- who receive the largest fraction of health-care dollars -- represents a significant change in national policy. An expenditure on a young life is leveraged, because it produces improvements that last for many decades. By depriving our young people today, we will create an even more dependent cohort of both middle-aged and elderly persons, one that will provide a tragic social problem for our successors in the mid-21st century.

This provides an important context for the planning of higher education's future in our state. Federal support for the young and for education at all levels has been in relative decline. Does it follow that at the State level we should be content to be part of this decline? Or, should we instead place a larger proportion of State resources to service policies that will reverse this decline? By posing such questions, I am suggesting that you are here to address a multitude of issues affecting higher education, not all of which are central to the Master Plan for Higher Education.

Now, let me turn to the narrower aspect of your review, especially that part with which I am most concerned -- the independent sector.

One of the marvels of this state's economy has been its ability to provide a public higher education system that allows us to have low tuition and fees for all students without any means test. All students enrolled within this State system are allowed to pay the same tuition and fees, whether they come from rich or poor families. That is a heritage we should be very proud of; it exists because we have a State economy strong enough to permit the use of public monies to subsidize the State colleges and universities for the tuition they would have to charge. It is also an endangered heritage, for rising costs may at some point make this promise impossible to keep.

Private colleges and universities also are having trouble maintaining present tuition levels. They are increasing, of necessity, at a rate 1 or 2 percent faster than inflation. The resulting gap between what public and independent institutions charge may cause problems. It is crucially important, therefore, to keep in mind that what happens in this state in the public sector can also have a citical effect on its independent colleges and universities.

Several policy implications follow from this cost-price distinction. The first is the State obviously benefits from both public and private subsidies in terms of the dividend returned on the investments in human capital. Students whose education is made possible by the low tax-subsidized price of public institutions and the reduced privately subsidized price of independent institutions graduate to become better earners and higher taxpayers. They also become the teachers, engineers, physicians, social workers, civil servants, business and industry leaders, which society needs. Please note that although the state's investment in the education of students in the private sector is relatively small, the benefits per graduate are very large; that is because each dollar of public investment is leveraged by several privately derived dollars -- all for public purposes.

Second, the independent facilities will not be best utilized if bright, capable students cannot attend them because of a lack of State scholarship and grant monies. The resulting shift to public universities will actually increase the tax burden, even as it reduces student choice -- a bad bargain for everyone.

Third, that choice will get to be much more difficult as the gap between what public and private universities charge for tuition continues to widen.

I also believe that if we are to utilize the California higher education system fully, policies should be developed to assist those students who need financial help, to the extent of their demonstrated need in the college or university they select. I find it especially frustrating that the one area in which a means test is being strictly applied is in the Cal Grant program -- a program that is essential to many low- and middle-income students who wish to attend independent colleges and universities. In my judgement, an equitable and effective Cal Grant program should have four components:

1) It should be available to those students who need financial help in attending either a public or a private college or university.

2) The amount available to students should be prorated to the tuition and fees of the colleges or universities they choose to attend.

3) The awards should be flexible and routinely indexed to economic factors, as is the Social Security system.

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4) Efforts should be made to distribute the awards in a ratio consistent with the public/private student population in California institutions of higher education.

The independent colleges and universities thus hope for a policy that will enlarge the Cal Grant Program, and restore the value of the maximum award in relation to the average price of tuition and fees paid by students attending the independent colleges and universities.

I would like, briefly, to touch on the capital needs of higher education. The University of California has identified substantial capital needs -- buildings and equipment -- for science. It is essential that this State find the means of restoring the capital base for research at its great public University. This Commission could be helpful in this effort by reiterating in its recommendations to the Legislature and the Governor the commitment of the Master Plan to the University of California as the preeminent research university among the public segments.

One of the greatest strengths of our State system of higher education is its reliance on both public and independent colleges and universities to educate its youth. This remarkable public-private partnership -- marked both by close cooperation and friendly competition -- invigorates the educational system and stimulates both sectors to excell. A delicate balance exists between the public and private sectors of higher education in our State. We need the State -- through its Master Plan -- to adopt policies that will ensure the strength of the independent sector, and maintain an appropriate cost ratio between the public and private systems. That may cost something, but it is a wise investment in California.

The foregoing presentations were followed by question and answer periods with Commissioners. Some of the major policy questions arising from those discussions are outlined below.

K-12: Is the current system of advanced placement classes working? What type of integration programs with postsecondary education can be developed? Can those variables within K-12 that have a direct impact on postsecondary education and those aspects of postsecondary education that have a direct impact on K-12 be identified?

Admission: What are the artificial boundaries or segmental barriers that impede student access and progress? Should achievement examinations be substituted for aptitude tests (achievement examinations around which schools organize their curriculum)? Should the manner in which the "pool of eligible students" is determined be changed (statewide pool versus district pool)? Do institutions provide any redirection programs for students not accepted at their institutions? Once admitted, how and when do students obtain counseling to select their major?

Articulation/Transfer: What type of articulation agreements currently exist? Is the quality of undergraduate degree offerings comparable across segments?

Accountability: Should a "report card" system be developed (tying levels of accountability to numbers of students who succeed)?

Finance: Should students have any financial responsibility for their education? If so, what percentage? How many students are being excluded from postsecondary education due to lack of financial resources? How do you define "need"? What alternative methods of funding can be identified? Should the existing Graduate Fellowship Program be expanded?

Differentiation of Function: What is the role of diversity among institutions in California? What is the role of State policy in creating unique institutions? What evidence is there that taking away the undergraduate education function at the University of California would result in greater research benefits to the State? How do you best drive university research? What effect would the integration of functions in postsecondary education have on the status of underrepresented minority students? What would be the feasibility of the California State University coordinating education from the Community Colleges up to the Masters? Has the current structure resulted in segmented, turf-bound insitutions?

Teacher Education: What type of teacher training programs are needed? (Joint appointments - ½ time at the college or university and ½ time at the school district; clinical settings; magnet schools.)

General: What type of student flow models can be developed? What is the appropriate role for postsecondary education with respect to the "graying of California"? How do you define "adult education"? What federal policies impact the provision of postsecondary education in the State of California (e.g., immigration, financial aid, etc.)? What can the State of California do in the way of policy initiatives, as opposed to regulations, to address the various problems? How do countries outside the U.S. conduct higher education programs (reference point to non-American approaches)?

5. June 17-18, 1986 Commission Retreat

Dr. Kerschenr reminded the Commission that the June 17-18, 1986 meeting of the Commission has been set aside as a retreat that will take place at the Kellogg West Center, California State Polytechnic University, Pomona. It will begin with a reception and dineer on Monday, June 16, at 6:00 p.m. and conclude after lunch on Wednesday, June 18.

Dr. Kerschner announced that the presentation by Dr. Ann Reynolds, Chancellor, California State University, originally scheduled to take place during the June retreat, has been rescheduled for the July 1986 regular meeting of the Commission. Details will be provided in the July agenda mailing.

6. **Other Business**

Prior to the first presentation on Tuesday, May 21, the Commission discussed the current status of the reforms recommended in its report "The Challenge of Change: A Reassessment of the California Community Colleges." Concerns were expressed that some special interest groups who are publicly supportive of the Commission's reforms are lobbying against those reforms behind the scenes. There was also discussion of the Commission meeting with the leaders of major groups (UC Regents, CSU Trustees, and CC Board of Governors, in particular) to receive their input during the course of developing the report on the Master Plan for Higher Education.

Dr. Kerschner reported that both Chairman Vasconcellos and Brian Murphy are working extremely hard to reach consensus positions within both Houses concerning the Community College Reassessment Study and the development of an omnibus bill.

Chairman Shansby reported that his conservation with the Governor's Office have been very positive and he anticipates support for the Commission's recommendations. He emphasized, however, that the Governor is not interested in piece-meal legislation and will want a total reform bill.

Dr. Kerschner expressed the Commission's appreciation for the excellent support provided by the individuals from CSU, Sacramento in taping the May 20-21 presentations.

The meeting was adjourned at 3:30 p.m.

July 23, 1986
Date

Lee R. Kerschner, Executive Director

Note: Subject to review at next Commission meeting

Commission for the Review of the Master Plan for Higher Education
Dunfey Hotel
Cypress/Golden Gate East Rooms
San Mateo, California
July 22-23, 1986
Minutes

Commissioners Present:	J. Gary Shansby, Chairman; William D. Campbell, Vice Chairman; Henry Der; Patsy Estrellas; Claudia Hampton; Harvey Hunt; George Daivd Kieffer; Meredith Khachigian (7-22); Felix LeMarinel; Peter McCuen; Michael Peevey (7-22); Glenn Rothner; Ray Remy
Commissioners Absent:	Seth Brunner; Edward Mosley; Harold Williams
Staff:	Lee R. Kerschner, Executive Director; Jerome Evans; Julia Fahrenbruch; Murray Haberman; Robert Palacio; Ronald Saufley

Call to Order

The meeting of the Commission for the Review of the Master Plan for Higher Education was called to order by Chairman Shansby on Tuesday, July 22, 1986, at 9:20 a.m. in the Cypress Romm of the Dunfey Hotel, San Mateo, California.

1. Approval of the May 20-21, 1986 Commission Minutes

Action: It was moved, seconded, and carried that the Commission approve the minutes of the May 20-21, 1986 meeting as distributed.

2. Chairman's Report

Chairman Shansby, on behalf of the the Commission, congratulated Dale Ride on his appointment as the new chairman of the California State University Board of Trustees.

Chairman Shansby expressed the Commission's regret that Commissioner Seth Brunner was unable to attend the meeting due to illness, but noted that his health is improving and he is expected to be able to return to work in the near future.

Chairman Shansby reported that the Commission retreat, held on June 17-18, 1986 was extremely productive. All Commissioners and staff were present for the majority of the retreat and Brian Murphy, Chief Consultant for the Joint Legislative Committee, sat in on a portion of the discussions. A wide range of issues were discussed including demographics, public school linkages, the independent sector, quality and purpose of postsecondary education including instruction, research, and public service, faculty and staff, teacher education, financing, and structure and coordination of the postsecondary education system. No formal actions were taken. At the conclusion of the retreat, staff were requested to provide a proposed outline of issues and a calendar and time schedule for completion of the report for Commission review and approval at its July 1986 meeting.

3. Special Presentations

At its April and May 1986 meetings, the Commission heard from distinguished speakers on the issues it should consider in reviewing the Master Plan. Two presentations were not heard, Chancellor Ann Reynolds because of schedule problems and Susan Brown because of illness. Those presentations were rescheduled for the July Commission meeting.

Dr. Kerschner reported that Susan Brown, Mexican American Legal Defense Education Fund (MALDEF), has requested that her presentation (scheduled for Wednesday, July 23) be cancelled due to illness.

The following paragraphs summarize Dr. Reynolds presentation to the Commission.

Ann Reynolds, Chancellor, The California State University

I want today to describe the reality of the CSU, and in the process explode seven of the myths that have grown up about what the CSU is and wants to become.

Myth #1: The division of higher education into segments has caused each segment to become a kingdom unto itself. -- Reality: Countless examples of cooperation can be cited, including voluntary associations, intersegmental state and privately funded programs, many intersegmental studies and programs that have gone forward under CPEC over the years, and CSU's cooperation with K-12 in outreach, student affirmative action, Teacher Education Institutes, local school-college affiliations, and so on. (*Note: Specific examples in each of these areas were provided.)

Myth #2: Most CSU students don't graduate, thus limiting their future potential and wasting the State's resources. -- Reality: CSU graduation rates are comparable to national averages for complex, public institutions of similar characteristics. Our average undergraduate is 23.7 years of age compared to 20.6 for UC. Many pursue studies part-time while employed full-time. Where students are more comparable to those who enroll in UC, the graduation rates are comparable. But graduation rates do vary by ethnicity and by admission category -- points of major concern to CSU and the rationale underlying the revision in admission course requirements to stress improved academic preparation.

Myth #3: CSU doesn't care enough about the public schools. -- Reality: The State set us to a special mission in teacher preparation and we embrace it. We want to be centrally involved in efforts to upgrade public education in this State. New entrance requirements for admission to teacher education will ensure that the great majority of accepted student teachers are in the upper one-half of their college class. CSU is currently producing 80 percent of the California students receiving teaching credentials each year. CSU and the State Department

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of Education are establishing Teacher Institutes which bring the public schools into partnership with the University in preparing teachers. In the next decade, 53 percent of existing public school administrators (88 percent of supervisors currently are white males) will retire, and replacements will be needed. The future needs for public school administrators, and which emphatically should include more women and minorities, mean that accessible public educational doctorate programs of quality are needed in this state. Because CSU annually educates most of the teachers credentialed in California, and provide some 3,000 master's degrees in Education (10 times the number awarded by UC), we have the resources to deal with this problem.

Myth #4: CSU campuses as teaching institutions have little to contribute to the intellectual and cultural life of communities and the State outside formal classroom teaching. -- Reality: CSU faculty, educated in many of the same institutions as those in the University of California (indeed some 24 percent received their Ph.D. from the UC and Stanford) contribute to the cultural, intellectual, and research climate of the State in many ways. From working with these faculty, students come to share the values of community service and to experience a love of learning. (Note: Specific examples were provided.) The scholarship in which our faculty is involved supports good teaching. The CSU, though active in service, has no State-endorsed community service mission, even though we attempt to teach a service ethic.

Myth #5: The reason students and faculty choose to be involved with CSU is because they couldn't do any better. -- Reality: We have an image problem. Four-year public higher education in California is two-tiered, with CSU drawing students from the upper 1/8 and CSU from the upper 1/3 of California high school graduates. What is not generally recognized is how selective both systems are in choosing students and in choosing faculty. The CSU has higher admission standards than most campuses of the SUNY and Florida systems. Due to the increased high school drop-out rate, fewer of the 18-year-olds in California are CSU-eligible today than when the Master Plan was initiated. Our integrity as the CSU and our real growth has occurred in the last 25 years.

Myth #6: CSU resents being number two so it wants to look like the University of California. -- Reality: The Trustees and faculty of the CSU have repeatedly emphasized undergraduate education as the heart and soul of our mission. Doctorally-prepared faculty teach undergraduate students in small class groups. The CSU continues to admit the upper one-third of high school graduates as called for in the 1960 Master Plan. The adoption of specific courses required for admission was stimulated by the concern that far too many students come to college unprepared and that the resulting need for remediation detracts from the basic mission of the CSU. The doctorate in education proposal comes from our concern about the public schools and our commitment to making higher education geographically and temporally accessible. Out faculty and Trustees endorse the concept of the doctorate in education as a practically-oriented degree, primarily for public school personnel. The resources to allow us to offer the doctorate in education at a few campuses -- certainly not all -- would be modest compared to what is required for research degrees -- a mission we strongly endorse and believe should remain with the University of California. Finally, there is the reality of research. Research does not, and need not, detract from instruction. High teaching loads which do not permit time for study and research lead to routine and unimaginative classes and rapid faculty burn-out. The State is well served when bright, inquisitive people choose to join the faculty of the California State University.

Myth #7: Growth in higher education is a thing of the past; we need no longer be concerned with campus expansions of programs or facilities. -- Reality: California, with a growing population, will see increasing need and demand for higher education. Conservative projections, based on demographic factors alone, would suggest a CSU enrollment growth of 11-12,000 FTE students from the 1985-86 level of about 247,000 FTE students. However, demographic studies do not begin to describe what "might be" if significant policy directons were set in motion in California. (Note: Specific examples were provided.) With increasing secondary school drop-outs in California since 1960, when the Master Plan was adopted, the proportion of California 18-year-olds eligible for the UC and CSU has dropped from about 22.6 to 19.6 percent. An adjustment in the CSU eligibility pool from 33-1/3 percent to 39-40 percent of the graduating class would be required to regain the ground lost since 1960. Despite the fact that CSU admits twice as many transfer students as first-time freshmen, many young people with the ability for baccalaureate study are not moving from the community colleges into the state's senior institutions. We are very much interested in cooperating with the Commission to remedy that condition through improved articulation as well as the development of special 2+2 programs.

In summary, Dr. Reynolds urged the Commission to: 1) Support the CSU commitment to further improve the undergraduate experience -- our primary mission. We need reduced and more flexible faculty teaching loads, state-of-the-art instructional equipment, basic items such as increased clerical assistance, and computing resources, and the wherewithal to provide many varieties of learning experiences; 2) Support and add to CSU efforts to improve college student access and retention. Improved financial aid programs, learning assistance centers, faculty mentoring programs and other student support services are all central to efforts to increase persistence; 3) Recognize that a state endorsed public service mission will benefit CSU students and communities; 4) Assist expansion of the application of CSU faculty expertise to solve state, local, and community problems; 5) Insist upon and facilitate the already extensive and voluntary cooperation of UC, CSU, and CCC, and the private institutions to solve common problems; 6) Help support postsecondary education to expand its work with the public schools to improve the preparation of all students but most particularly those of ethnic minority backgrounds; 7) Highlight the initiative CSU has taken to achieve excellence in teacher education and assure that it is sustained so that California's universities continue to play the central role in the education of teachers; 8) Give CSU the flexibility to offer the very much needed doctorate in education; 9) Help us anticipate and plan for orderly growth through the addition of new buildings, facilities, centers, and possible new campuses in areas now inadequately served; and 10) You have my personal pledge to follow through on your deliberations to make our shared dreams a reality for the California State University.

The foregoing presentation was followed by a question and answer period with Commissioners. Some of the major policy questions arising from that discussion are outlined below.

Doctorate in Education: What is the nature of the doctorate degree? What does that degree prepare public school administrators and teachers to do that a masters degree does not? Is there a need for something beyond the masters degree? Would the number of CSU campuses offering that degree be restricted? What impact would offering the doctorate at CSU have on teacher education enrollments at the University of California as well as private universities (e.g., the University of Southern California)? What impact would the doctorate have on the reallocation of resources, both fiscal and human, at the CSU? What would be the impact on faculty and students?

Articulation: What can be done to substantially increase the graduation rates of underrepresented minority groups? What is the appropriate role of remedial education? What can be done to enhance outreach and articulation with public schools? How can articulation and coordination between postsecondary institutions, CPEC, K-12, and the private sector be enhanced?

Transfer: What can the CSU (as well as UC) do to make the transfer core curriculum a reality?

Faculty: The tenure process - is teaching the primary consideration in evaluations for tenure? Is the emphasis more on publication and scholarly endeavors?

Admissions Requirements: Would raising the admissions requirements at the CSU have an adverse impact on underrepresented minority groups? What can be done to assure that the public schools offer the courses CSU will require prior to admission?

Finance: Can the CSU reasonably expect to achieve its stated goals, given the 1979 Gann expenditure limitation?

Copies of a position statement from "The Third World Student Coalition," outlining concerns relative to the Master Plan review were distributed to Commissioners. Chariman Shansby informed representatives from the Coalition that the Commission will hold three public hearings in the course of its review of the Master Plan, and stated they would have the opportunity to formally present their concerns at that time. He emphasized it would be premature for the Commission to engage in discussions regarding possible Master Plan recommendations this early in the process.

4. Selection of Issues to be Included in the Master Plan Review

The Commission was established as a result of SB 1570, Nielsen (CH 1507, 1984) and charged with the responsibility to review the Master Plan for Higher Education. An extract from the Nielsen Bill, indicating the issues the Legislature wanted addressed was provided in the agenda. At its April and May 1986 meetings, the Commission heard from distinguished speakers on the issues and goals it should consider in its review of the Master Plan. Subsequently, the Commission held a retreat to discuss those issues and others in order to develop a sense of what ought to be the focus of the Master Plan review.

Staff recommended that the Commission review, revise, and adopt the issues and goals outlined in the agenda, as a preliminary framework for the review of the Master Plan.

In the course of reviewing the issues outline, Commissioners expressed concern that it was too "logical and antiseptic" and indicated they would like to recapture some of the "passion" Commissioners felt on a number of issues at the June retreat. Commissioner comments and concerns of a substantive nature are recorded in the following paragraphs. Other revisions, editorial in nature, are summarized in Attachment A.

It was understood that staff would have the flexibility to restructure the issues outline as deemed appropriate in the course of writing the issues papers.

Vision Statement

There was consensus that the vision statement would be eliminated for the present and redrafted after the Commission has gone through the issues and options. Specific concerns about what was lacking in the vision statement included: 1) a sense of urgency; 2) too much academia and not enough practicality - layman's language; 3) References to the "Pacific Rim" -- California going from the 7th to the 4th or 5th largest economy in the world; 4) post-industrial service "and manufacturing" economy.

Public School Linkages to Postsecondary Education[1]

- Report Card Concept -- K-12 is the "report card" for the University of California and California State University; those institutions must be instilled with the proper attitude, particularly since they produce the majority of public school teachers. Consider beginning the issues paper with a "report card" statement and then develop the goals that get to that statement.

- Goals -- The goals statements are too broad; make sure the goals tie to the issues (e.g., Goal #1 -- assuring postsecondary education's commitment to public school success is not a goal, but a means through which the goals can be achieved. Absent that, success at the postsecondary level will always be limited); describe how the various parts of education in California fit together and influence each other - "Commitment" suggests that postsecondary institutions do this out of "noblesse oblige".

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[1] To be retitled.

- Policy questions #3 and #4 are related problems. Commissioner Hunt expressed concern that #3 is talking about the influence of admissions requirements, but it is more than admissions and should reflect that; Outreach, under #4, suggests a specific strategy when there are a variety.

Instruction

- The categories of undergraduate education and graduate and professional education are to be consolidated with respect to policy questions concerning "access", "student success", "quality instruction", and "transfer policies" (1-4). Policy questions concerning "role and mission" (5) for undergraduate and graduate and professional education will be addressed separately.
- Vocational Education and Adult Education will be addressed as "Governance" issues.
- The issue of "graduation rates", as well as entrance rates, must be dealt with. Access: Admissions Policies and Practices -- Questions regarding the "eligibility pool" (top 1/8 or 1/3) fit into role and mission. If we want CSU to be the premiere undergraduate institution and UC the premiere graduate institution, the issue of admissions policies must be addressed; if you enroll the "smartest" students you can get away with mediocre teaching and still end up with a good result. The original Master Plan assumed most students would be traditional college age which is no longer true; if a 30-year old wants to return to school, should we care if they were in the top 1/8 or 1/3 of their high school graduating class?
- Quality Instruction -- Although the major issues regarding "faculty workload" and "part-time faculty" will be addressed under "Faculty and Staff", references to those issues are to be included in this section; include discussion regarding the "degree of interaction between faculty and students and how that relates to quality education."
- Role and Mission -- Expand policy questions to include "preparing for an international economy" and "the 60/40 rule for the University of California (balance between lower division and upper division programs)."
- Other Instructional Programs -- Add "adult literacy."

Staff will distribute copies of the UC report on undergraduate education to the Commission when available.

Commissioner Hunt expressed concern that by not having a section on "curriculum" the issues related to undergraduate general education are lost. He urged staff to examine the ways in which decisions are made related to general education and how the priorities are established. Several Commissioners and staff expressed concern regarding the level of detail this might involve and emphasized it would not be appropriate to get into writing the curriculum.

Commissioner Rothner suggested that Goal #1 be rewritten to read, "to assure that all institutions are representative in composition of our diverse and multicultural society."

In response to questions from Commission Kieffer, Dr. Kerschner stated that comparative material from other countries would be presented, to the extent possible, in the context of issue papers when germane to the issue.

Commissioner Hampton pointed out that the educational enterprise invites the cooperation of business and industry, but on its own terms. She suggested that consideration be given to inviting some oversight or cooperation, whereby business and industry bring in the skills they know best (particularly management) and give academia the opportunity to benefit by what is going on in the field. Commissioner Hampton also urged staff to review what is already taking place with respect to coordination and cooperation between segments and provide that information to the Commission.

Research

- Add policy questions regarding "research as a public service" and "the role of the University of California in managing the Lawrence Livermore Labs and Los Alamos."

Public Service

- Provide in the issue paper a definition of public service: What does it mean? What are the implications? Where is it used (e.g., faculty evaluated on teaching, research, and "public service".)?
- Add policy questions regarding "community service as a curriculum component of undergraduate and graduate education", "student loan forgiveness for public service as a repayment vehicle", and "priorities for public service."

Faculty and Staff

- Provide a statement on the purpose of education and the interrelationships between groups (e.g., the world is changing and the educational systems cannot continue to function in isolation).
- Add policy questions regarding "interrelationships between faculty and students (e.g., student counseling, office hours, tracking and retaining new students from underrepresented groups)", "interrelationships of faculty between and among segments and articulation with K-12", "faculty workload (reference under quality instruction)", "executive leadership", and "scholarship (scholarly teachers)".

Commissioner Campbell stated that policy question #6, regarding tenure and alternative terms of employment, should address the question of whether the criteria for obtaining tenure match with the purpose of the institutions.

Commissioner Estrellas stated that discussion should be developed regarding the issue of "academic freedom" and the necessity for professors to have tenure for the protection -- the Commission has not taken the time to discuss the problems dealing with what faculty publish, what they do research in, and what is taught in classes.

Governance

o Add policy questions regarding "vocational education", "adult education", and "state agency status of institutions".

Commissioner Shansby stated that policy question #2, relationship between educational institutions and other state agencies including the Governor and Legislature, should be expanded to include independent institutions and should address how the various groups formally relate to one another (e.g., frequent meetings and discussions of issues more compatibly, such as the doctorate in education).

Commissioner Kieffer suggested adding a goal that deals with "creating and maintaining a system that is not only responsive but has some degree of independence from political movements one way or the other."

Commissioner Remy expressed concern that issues regarding distribution of power need to be made early in the process, or the range of options will be unmanageable.

Financing

o Add policy questions regarding the "1979 Gann expenditure limitation", "teaching loads - differences between UC, CSU, and CCC", "capital outlay", and "elimination of programs or policies (identification of cost saving areas)".

Commissioner Kieffer suggested that a statement be developed on the state's current philosophy regarding financing and what our alternatives might be - is there a problem internally in the segments in allocating funds from one project or series of projects to another (particularly under the 1979 Gann limitation)?

Commissioner Remy stated that discussion regarding the impact of the 1979 Gann expenditure limitation should address the realities of the current situation and whether the Commission believes education's share of state resources is adequate.

Long-Range Planning

There was some discussion that the long-range planning category could be eliminated, noting that those questions are either addressed elsewhere or could be included under governance; have to identify where the responsibility for the planning function rests. It was emphasized that if long range planning is eliminated as a category, those policy questions should be included in other sections of the report, as appropriate.

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- What kind of policies already exist that may impair planning or meeting the goals outlined in other sections? How does the California Postsecondary Education Commission allocate its time (what studies are completed and what percentage are implemented in what ways)? Are existing CPEC statutes appropriate?

- Need for periodic meetings of the Chief Executive Officers of the segments to share problems and bring up any articulation difficulties to help them think as an education team for the state.

Dr. Kerschner pointed out that Frank Bowen recently completed a study concerning overall long range planning for state growth, commissioned by CPEC. He stated that the findings of that study will be addressed in the issue papers.

ADDITIONAL DISCUSSION AND FOLLOW-UP

- It was suggested that consideration be given to developing five to seven major goals that cut across the categories identified, rather than single isolated goals, and that a restatement of why we are looking at these issues be provided for each category.

- Significant discussion was heard regarding the current Gann initiative (California Fair Pay Amendment) that would establish a ceiling for public employee salaries. Staff were directed to prepare a paper for the September Commission meeting that analyzes the effects of that initiative on education. The paper will address both sides of the issue. The Commission will decide at its September meeting whether to take an official position on the initiative.

- Staff pointed out that the free flow issue will be incorporated into the final report (due June 1987).

- Information that describes the failings of the 1960 Master Plan, as well as the successes, such as doctoral dissertations or other efforts to analyze the master plan from an educational standpoint will be sought.

- Staff will provide a status report regarding the Community College governance study being conducted by Frank Bowen and Lyman Glenny (informational report to indicate that the process is moving forward, rather than on the substance of the study itself). The consultants report is currently scheduled to be presented to the Commission in December 1986.

5. Proposed Schedule for the Commission's Review of the Master Plan for Higher Education

The Review of the Master Plan for Higher Education (SB 1570, Nielsen - Ch 1507, 1984) had required a final report by January 1, 1987. The Legislatue has been asked to amend that date to June 30, 1987, the same as the Commission's sunset date. The schedule provided in the agenda was designed to accommodate that change and to provide adequate time for the Commission to complete its task.

In reviewing the schedule, there was Commission consensus that the adoption date for the report should be changed to June 1987, and that an extension to December 1987 of the Commission's "sunset date" be sought. Meetings of the Commission after June 1987 would be subject to the call of the Chair. Subsequent to additional revisions, the schedule was adopted by the Commission as outlined in Attachment B.

Action: It was moved and seconded that the Commission adopt the Schedule for Commission Review of the Master Plan for Higher Education, as revised and outlined in Attachment B. The motion passed unanimously.

6. Background Papers

Background papers #4, What Postsecondary Education Offers, and #5, How Postsecondary Education is Governed, were included in the agenda. Background paper #6, What Comprises the Private Sector, was distributed as a handout during the meeting. Background paper #7, Who are the Faculty and Staff, will be distributed shortly. Although all the background papers will be reissued as a package in the near future, they will be subject to additional revisions, clarification, and addition of data that may be necessary during the course of the Commission's deliberations on specific Master Plan issues.

The meeting of the Commission was adjourned at 12 noon on Wednesday, July 23, 1986.

September 17, 1986
Date

Lee R. Kerschner, Executive Director

ATTACHMENT A
Summary of
Editorial Revisions to Issues Ouline

Note: Under each category, the primary policy question will be "What public policies, if any, should be adopted regarding:..."

PUBLIC SCHOOL LINKAGES TO POSTSECONDARY EDUCATION

1) Retitle - do not use "linkages" or "commitment"; 2) Goals - change "reform" to "success" and "collegiate" to "postsecondary"; 3) Policy question #1, 4th bullet, change "expertise" to "education".

INSTRUCTION

1) Goal #1 - see suggested revision in text of minutes; 2) Undergraduate Education - delete "(acdemic and vocational)"; 3) Policy question #1 concerning access, 1st bullet to be divided into two bullets and in the 2nd and 3rd bullets change "criteria" to "policies"; 4) Other Instructional Programs - add "adult literacy"; 5) Policy questions #1 through #4 will address both undergradute and graduate and professional education (see text of minutes).

RESEARCH

1) Goal #2 - amend to include meeting the "sociological" needs of the 21st century as well as "technological".

PUBLIC SERVICE

1) Policy question #3 - amend to read "who 'should be' the beneficiaries..."

FACULTY AND STAFF

1) Goal #3 - amend to read "To develop mechanisms to evaluate "and encourage" the effectiveness..."; 2) Policy question #2 - clarify to indicate that it refers to "inservice" as well as preservice training and preparation.

GOVERNANCE

1) Goal #1 - amend to read "...and effective management 'and leadership'..."; Goal #3 - clarify as to whether talking about changing student interest or the nature of the student population.

FINANCING

1) Goals - include a statement regarding the adequacy of funding.

LONG RANGE PLANNING

1) Staff to consider deleting this as a category (see text of minutes).

ATTACHMENT B
Schedule for Commission's Review of the Master Plan for Higher Education

July 22-23, 1986:	San Francisco Adoption of issues to be addressed in the Master Plan
[August 19-20, 1986:]	Cancelled
September 16-17, 1986:	Los Angeles Consideration of issues and policy options
October 21-22, 1986:	San Francisco Consideration of issues and policy options
November 18-19, 1986:	Sacramento Consideration of issues and policy options
December 16-17, 1986:	Los Angeles Consideration of issues and policy options
January 20-21, 1987:	San Francisco Consideration of issues and policy options
February 17-18-19, 1987:	Sacramento Consideration of issues and policy options (17-18) Public Hearing Third Day (19)
March 16-17-18, 1987:	Los Angeles Public Hearing First Day (16) Consideration of Draft Master Plan (17-18)
April 20-21-22, 1987:	San Francisco Public Hearing First Day (20) Consideration of Draft Master Plan (21-22)
May 19-20, 1987:	Los Angeles Consideration of Final Draft Master Plan
June 16-17, 1987:	Sacramento Final Consideration and Adoption of Master Plan

Note: Subject to review at next Commission Meeting

Commission for the Review of the Master Plan for Higher Education
Sheraton Plaza La Reina
Santa Catalina Room
Los Angeles International Airport
September 16-17, 1986
Minutes

Commissioners Present:	J. Gary Shansby, Chairman (9-16); William D. Campbell, Vice Chairman; Seth Brunner; Henry Der (9-16); Patsy Estrellas; Claudia Hampton; Harvey Hunt; George Kieffer; Meredith Khachigian; Edward Mosley; Michael Peevey; Glenn Rothner; Ray Remy; Harold Williams
Commissioners Absent:	Felix LeMarinel; Peter McCuen
Staff:	Lee R. Kerschner, Executive Director; Jerome Evans; Julia Fahrenbruch; Murray Haberman; Robert Palacio; Ronald Saufley

Call to Order

The meeting of the Commission for the Review of the Master Plan for Higher Education was called to order by Chairman Shansby on Tuesday, September 16, 1986, at 9:30 a.m. in the Santa Catalina Room of the Sheraton Plaza, Los Angeles, California.

1. Approval of the July 22-23, 1986 Commission Minutes

Action: It was moved, seconded, and carried that the Commission approve the minutes of the July 22-23, 1986 meeting as distributed.

2. Chairman's Report

At the Chairman's request, Dr. Kerschner provided a brief report on legislative activities with respect to "The Challenge of Change: A Reassessment of the California Community Colleges" and the status of various pieces of legislation that would implement some of those recommendations. Bills currently on the Governor's desk for signature include differential funding; district financing; matriculation; 2+2 vocational programs; and leadership in the Community College system.

Dr. Kerschner reported that the Joint Legislative Committee met in September and adopted most of their staff report. It represented about 90 percent of the Commission recommendations. The Committee will meet again in October to continue discussion on Community College issues and attempt to resolve any remaining differences. Staff will continue to keep Commissioners informed regarding legislative activities.

3. Conditions of Education in California, 1986-87

As background to consideration of the relevant Master Plan issues, Dr. Michael Kirst, Co-Director of Policy Analysis for California Education (PACE) and Professor of Education, Stanford University, presented excerpts from PACE's "Conditions of Education in California" report. Public school/postsecondary issues will be discussed at the November 18-19, 1986 meeting of the Commission.

Dr. Kirst gave an overview of the context and trends in California elementary and secondary education and distributed copies of five charts outlining: current expense of education in California as compared to the national average (76-77 through 85-86); average total K-12 revenues per ADA (78-79 through 86-87); State's Gann appropriations limit through 1986-87; and the State's Gann appropriations limit projected into the future. Dr. Kirst briefly reviewed several areas he felt postsecondary education could assist public school reforms and responded to questions from Commissioners.

- Statewide entrance exams represent a very powerful drive on public school curriculum - How are new entering students doing on placement exams at CSU and UC? Important to know what the trends are, but that information is kept internally with no feedback.

- Golden State Achievement Exam - SB 813 authorizes development of this exam. A policy that ties scores on the Golden State Achievement Exam to student aid could be beneficial.

- Course Specifications for Entry - What can postsecondary education do to help define what should be in those courses? Accreditation of high schools is also an important, related issue.

- Dropout Rates - Very little is known regarding the cause of or solutions to high dropout rates. This is an area that lends itself to both basic and applied research; build into the university mission.

- Teacher Education - Teacher education is experiencing low prestige and very low funding on a per pupil basis. Due to the tremendous declines in the hiring of new teachers in the 70's, teacher education programs were badly eroded in most universities and treated as a "loss leader" in most states. A renewed emphasis and influx of new resources and ideas for teacher education programs is essential. In addition, higher education professors should treat public school teachers as colleagues.

- Vocational Education - Academic declines in public school vocational education programs are large and continuing. What is the appropriate role of high school vocational education and how does that change what postsecondary education should do?

- Interaction between Public School and Postsecondary Institutions - Less specification at the state level and more interaction and cooperation at the local level is very important. A prevention strategy that comes about in Junior High is critical. Higher education programs are needed that reach down and inform students about opportunities at the postsecondary level and lets them know that the system is open and financial aid is available.

- Financing: Article XIII B of the California Constitution (Gann) - An amendment to the Constitution is needed that would change the factors in the spending limit from population plus the Consumer Price Index (CPI) whichever is less, to "population plus growth and per capita income." Because the CPI has no relationship to demand or costs for public service it does not equal out. Need to restore local spending power that would go outside of the state spending limit. Currently, local districts have no base on which to generate their own income. Nationally, the states that have done well are those with local funding capacity.

In the course of discussions, it was agreed that staff would review the report referenced by Dr. Kirst titled, "The Conditions of Hispanics in California." Several Commissioners expressed concern that the findings of that report with respect to Mexican-American student dropout rates were significantly different than those previously reported to the Commission.

4. Update to the Report of the Commission on the Teaching Profession

The Commissioners received copies of the report prepared by the Commission on the Teaching Profession, "Who will Teach Our Children?" in the Fall of 1985. Jonathan C. Lewis, Executive Director to the California Commission on the Teaching Profession, made a brief presentation of the relevant issues and provided a status report on implementation of the recommendations contained in the report. A summary of those recommendations is provided in Attachment A.

Mr. Lewis's presentation focused on initial responses to the report "Who Will Teach Our Children?" at the time it was issued, which were extremely supportive, and the subsequent implementation process. He noted that as the Commission on the Teaching Profession began converting its recommendations into legislation, the inevitable turf battles and difficulties in reform surfaced. Major initiatives designed to implement the Commission's recommendations uniformally met with demise in the legislative process. Mr. Lewis stated that although school facilities issues have taken a major step forward, the gains in other areas have been very modest. He reported that the Commission is currently crafting omnibus legislation that will embody all 27 recommendations, absent those significantly adopted by the Legislature this year. Mr. Lewis stated that the Commission has invited participation in the process of crafting that legislation from the Department of Education, PACE, union leaders, management representatives, and others who might be interested. He also invited the Master Plan Review Commission to participate in that process if it so desires. He pointed out that the policy implications of producing quality teachers is profound for K-12 and specifc to a major assignment in postsecondary education.

Mr. Lewis highlighted those recommendations of the Commission on the Teaching Profession where he felt the Master Plan Review Commission might have a direct interest: #1-Establishing a new system of setting and enforcing professional standards; #2-Deregulate academic training of teachers; #3-Require a teaching residency for a clear credential; #4-Replace the emergency credential with an alternative route into the teaching profession; #26-Create a work-study program in public schools for college students; and #27-Offer additional service-payback fellowships to prospective teachers.

Subsequent to discussion and comments from Commissioners, Chairman Shansby stated that the staff will work with Mr. Lewis to determine which of the recommendations contained in the report "Who Will Teach Our Children?" the Master Plan Review Commission staff should provide assistance on.

5. Analysis of Proposition 61

The Commission requested at its July 22-23, 1986 meeting a staff review and analysis of the impact of Proposition 61 on postsecondary education. Subsequently, staff learned that the California Postsecondary Education Commission staff was preparing a similar analysis. The CPEC analysis was included in the agenda for Commission review, along with a statement obtained from the proponents of Proposition 61.

Several Commissioners expressed concern that the Commission should publish the information it has with respect to Proposition 61, but should not make an exception to its policy of not taking legislative positions and offered the following motion.

Action: It was moved and seconded that the Commission determine whether it should make an exception to its policy and take a formal position on Proposition 61. The motion passed, with 11 Commissioners voting in favor of taking a formal position and 2 Commissioners voting against (3 Commissioners were not present for the vote).

In the ensuing discussion, there was Commission consensus that Proposition 61 would have a devastating impact on the educational system, as well as other public service areas, and the facts were so overwhelming that the majority of the Commission felt they could not stand idly by but should take an official stand on the initiative.

Action: It was moved and seconded that the Commission join the postsecondary education community in opposing Proposition 61. The motion passed unanimously.

6. Status Report on Community College Governance Study

The Commission recommended in its report "The Challenge of Change" that the Legislature make no change in Community College district organization while the Commission continues its examination of alternative local governance structures, including enhancement of the existing structure."

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The Executive Director contracted with Frank Bowen and Lyman Glenny to do an independent review of the Community College governance issue and to develop policy options for consideration by the staff and the Commission. Their report is scheduled to be presented at the December 16-17, 1986 meeting of the Commission. Dr. Kerschner noted that, as part of the process, staff will bring back an issue paper in January 1987 on governance that will include the Community Colleges, the California State University, the University of California, and the California Postsecondary Education Commission.

Jerome Evans provided a brief status report to indicate that the process is moving forward, as requested by Commissioners at the July 1986 meeting. He stated that Bowen and Glenny put together and have been meeting with an advisory committee, noting that the process is on schedule. Mr. Evans read the 12 preliminary findings that Bowen and Glenny have submitted to the field for review and comment.

Note: Immediately following the luncheon break, Chairman Shansby made an exception to the Commission's normal procedure and allowed a five minute presentation by a representative from the Third World Student Coalition.

The student speaking on behalf of the Third World Student Coalition indicated that the Coalition was formed to address the worsening conditions in California public education. He emphasized that quality education in California does not have to preclude equality of education and stated that issues of concern to the Coalition include access, instruction, eligibility, state and federal funding, and the strengthening of ethnic studies programs. He requested that the Coalition be formally recognized by the Master Plan Review Commission, and that they be placed on the November 1987 Commission agenda for a formal presentation.

In the ensuing discussion, it was understood that representatives of the Third World Student Coalition would work with and seek representation on the official student advisory group. Chairman Shansby stated that the students should work directly with Commission staff to assure that their viewpoints are heard on all topics that impact students, at the appropriate time. Chairman Shansby emphasized that the most appropriate place would be during the public hearings. However, he stated that the students should review their presentation with Commission staff and, if it coincides with the issues to be discussed at the November meeting, they will be allotted an appropriate time slot for a formal presentation.

7. Access to Postsecondary Education in California

Ronald Saufley briefly reviewed Issue Paper Number 1 "Access to Postsecondary Education in California: Entitlement; Education Organized for the Recent High School Graduate; Educational Equity and Access to the Baccalaureate Degree; Admissions Policy; The Public Schools; Finance and Financial Aid; and Transfer.

In the course of reviewing the paper with Commissioners, there was consensus that the issues needed to be reorganized, further clarified

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and expanded, or, in some cases, were too prescriptive. There was consensus that staff would restructure the paper in accordance with Commissioner requests for the October 1987 meeting. The following represents a summary of Commissioner comments and specific requests for clarification or restructuring.

Note: Commission recommendations contained in "The Challenge of Change: A Reassessment of the California Community Colleges" will be incorporated into the papers where appropriate.

Entitlement

Issues regarding "entitlement" and "admission policies" are closely related and should be reorganized to follow each other in the paper. There was significant discussion regarding whether the current situation represents an entitlement pool or an eligibility pool, and the lack of consensus within the postsecondary education community as to which is the case. As a matter of state policy it is implicit rather than explicit.

Include the 60/40 rule (balance between lower division and upper division programs).

Staff will clarify and revise the three policy options contained in the agenda for further Commission review and discussion in October.

Admissions Policies

The last paragraph, 5th sentence under "issue elaboration" (page 13 of the Access paper), will be corrected to read "In 1984, for example, Stanford included 8.0 percent Black and 9.4 percent Hispanic on campus."

The series of policy options regarding possible "alterations to the 12.5 and 33-1/3 percentages" will be rewritten and combined to represent a policy option with examples.

The policy option to "apply the percentages to high schools" will be revised to refer to school districts rather than individual high schools.

Include an option to establish admissions targets or total enrollments by sytem at the UC and the CSU, letting each campus determine the percentages.

The option to "retain selective admissions philosophy while broadening entrance criteria beyond standardized tests and GPA" will be expanded to include other patterns.

Include an option regarding the use of achievement exams versus aptitude exams.

Delete the option regarding "open access". There was consensus that given the Commission's recommendations with respect to Community College access, open access to the postsecondary education system has been achieved, provided the transfer function works.

The option to "establish a single high school course pattern required for college bound students" will be deferred to the paper on "public school relationships."

In response to Commissioner requests, staff will attempt to obtain information on: 1) How other states that have open access to the university system are doing with respect to retention and graduation; and 2) The number of students applying to the UC and the CSU that are denied entrance because of grades.

Education Organized for the Recent High School Graduate

The first two policy options are too specific and address operational issues.

There was consensus that the issues and options under this category need to be rewritten to further clarify the issue of "nontraditional" students. Need to understand the magnitude of the problem as it pertains to the University of California and the California State University. What is the definition of full-time at the University? Need to know something about the students who work (marital status, children, working hours, commuters, etc.). Need to allow for some individuality among the campuses, especially in the heavily impacted areas. What are the age barriers? What is block scheduling? What impact do "nontraditional" students have on the transfer function?

Educational Equity and Access to the Baccalaureate Degree

There was consensus that the issue of "educational equity" needs to be further clarified and defined. How do you measure equity? Is this another term for affirmative action? Staff will clarify this issue and provide additional policy options for the October agenda.

The Public Schools

This issue will be referenced in the "access" paper, but will be incorporated into the issue paper on "public school relationships" to be presented in November.

Finance and Financial Aid

The issue and policy options will be incorporated into Issue Paper Number 2 "Financing Postsecondary Education."

Transfer

Option to recommend that the "transfer function be recognized as a central programmatic priority for all three public postsecondary segments" -- Amend to require yearly reports from the "Governing Boards" rather than the Chief Executive Officers.

Option to recommend "formalization of articulation activities among the segments" -- Amend to place period after the word "segments". The establishment of another council was not viewed by a number of Commissioners as useful.

Option to "require assurance from the Board of Governors and Local Districts that Community College students have access to transfer courses" -- Reword to explain that there may be districts in which one institution would not offer transfer courses, but a college within reasonable distance would; not meant to be interpreted as every institution.

Option to recommend the "Community Colleges and the Universities be required to adopt a common course numbering or cross reference system" -- A number of Commissioners felt this option was too prescriptive and would be difficult to implement. There could be a strategy coming from some of the other options to meet that objective without being so prescriptive.

In response to Commissioner comments, Mr. Evans stated that the concept of a "bounty" or "budgetary incentives" for improving institutional transfer rates will be included in the issue paper on "budgeting".

It was understood that the transfer recommendations adopted by the Commission in "The Challenge of Change" will be incorporated into the access paper.

8. Financing Postsecondary Education in California

Jerome Evans briefly reviewed Issue Paper Number 2 "Financing Postsecondary Education in California." In the course of reviewing the paper with Commissioners, there was consensus that some issues needed to be further clarified and expanded or were too prescriptive. Staff will revise the paper in accordance with Commissioner requests for the October 1986 meeting. The following represents a summary of Commissioner comments and specific requests for revisions.

Pricing

Consider combining options regarding "current fee policy" and "students sharing the cost of postsecondary education in some ratio." Include statement that addresses the need to make information about the availability of financial aid easier to obtain.

Eliminate option that "students be charged full tuition."

In response to Commissioner comments, Dr. Kerschner emphasized the importance of understanding the distinction between the "cost" of postsecondary education and the "price" charged to students. He pointed out that costs have risen in the public sector as well as the private sector.

Differential Pricing According to Student or Program Characteristics

Option to "waive nonresident graduate tuition in fields where critical shortages are likely to occur" -- There was consensus that this option should not be maintained in its current form, noting that critical shortages are too cyclical and difficult to predict. However, the concept of financial incentives should be further explored.

Option to "increase nonresident tuition to equal the average cost of instruction, excluding research" -- To be expanded to provide better data regarding residency requirements and the impact on foreign students.

Option to "change the breaking point for part-time Community College student fees" -- Additional information to be provided as to which of the alternatives makes the most sense (e.g., either raising the breaking point from six units to more than six units, or increasing the per unit charge).

Allocation of Student Support Among Various Forms of Student Aid

Options dealing with "state student aid, grants, loans, and work-study" -- Concerns were expressed that additional information would be required in order to determine the impact of each of those. (What programs seem to be working? How many hours can a student work and still maintain progress in their academic studies? What type of work do or should students perform in relation to their educational programs?) In addition, several Commissioners expressed concern that it would not be appropriate to establish a priority order for those programs at the state level, but rather leave those decisions to the institutions. There was consensus that options regarding student loan forgiveness or financial incentives for public service should be pursued.

Options concerning establishment of a "state loan bank" or a "state administered tuition savings fund" -- Concerns were expressed that both options would be too costly to administer and, therefore, outweigh any benefits.

"Public service corps" option -- There was extensive discussion regarding this option and concerns that further data and clarification is needed. Although some Commissioners were concerned with making such a program mandatory as opposed to voluntary, there was consensus that this option should be further expanded and discussed, particularly along the lines of the "Teacher Corps" concept presented by Frank Newman at the May Commission meeting. Options should reflect the public service dimension, programs to develop individuals in high need areas, and tying financial assistance to internships and experience in the field.

Impact of State Pricing and Support on Independent Institutions

Eliminate options concerning "direct financial aid for independent institutions" and "raising student charges to public institutions to cover the full cost of instruction."

Option regarding development of a "voucher system" -- Some concerns were expressed that students not be permanently tied to the institution at which they intially enroll and that there would be no method to control cost or policy direction. However, there was consensus that this option should be further discussed. In addition, staff will separate this into two options, the first would be for a "pure voucher system" and the second along the lines of a "GI Bill" concept.

Option to "raise maximum award amount to the average cost of tuition and fees at the independent institutions" -- Suggested that an additional option be included in which the percentage increases would not be the average cost of tuition and fees at the independent institutions, but rather the average full cost of the public institutions.

Additional comments and requests:

Provide a summary of the Legislative Analyst's analysis of Article XIII B (Gann), contained in the "1986-87 Budget: Perspectives and Issues."

Financial aid issue addressed in the "access" issue paper will be incorporated into the "finance" issue paper for consideration in October.

Build into the finance options a mechanism for informing high school students about the availability and type of financial aid that can be obtained to pursue postsecondary education.

Staff will attempt to provide data concerning the average rate of pay students in work study programs receive.

Staff will attempt to clarify the second paragraph under issue elaboration pertaining to the "tuition gap" between the public and the independent colleges and universities (e.g., are students bearing an increasing share of the cost at the independent institutions, while students at the public institutions are bearing the same or a lower share of the cost?).

ADDITIONAL COMMENTS REGARDING MASTER PLAN ISSUES IN GENERAL

Explore the feasibility of an option to provide decent student housing at affordable costs (e.g., some methodology for the state to cooperate with private enterprise; fixed rate on investment or projects).

Explore the feasibility of providing dormatories at urban campuses so that, for example, students living in difficult domestic surroundings could move into dorms, thereby resulting in a more successful academic experience. Ultimately, the state could choose to support dormatories at private institutions, as the federal government has done for many years -- bonding authority.

Need to give consideration to better and more extensive cooperative efforts between the corporate world and the educational world.

9. Background Paper Number 7

Background Paper Number 7, "Who are the Faculty and Staff", was included in the compilation of background papers (1-6) previously submitted and provided as a separate enclosure in the agenda ("Draft - Background Papers: Review of the Master Plan for Higher Education"). As noted on the cover, those papers are subject to additional review and clarification. Commissioners and others are encouraged to comment or offer suggestions.

The meeting was adjourned at 12:55 p.m., Wednesday, September 17, 1986.

October 22, 1986
Date

Lee R. Kerschner, Executive Director

ATTACHMENT A

Summary of the Recommendations of the California Commission on the Teaching Profession

I. Restructure the Teaching Career and Establish Rigorous Professional Standards

1. Establish a New System of Setting and Enforcing Professional Standards
2. Deregulate Academic Training of Teachers
3. Require a Teaching Residency for a Clear Credential
4. Replace the Emergency Credential with an Alternative Route into the Teaching Profession
5. Redesign the Process for Granting Tenure to Teachers
6. Establish a "Board Certified" Classification
7. Strengthen and Focus the Mentor Program
8. Create and Fund a Competitive Grant Program to Demonstrate Advanced Career Options for Teachers
9. Give Teachers Full Credit on Salary Schedules for Their Total Years of Experience
10. Offer Sabbaticals to Improve Teacher Productivity

II. Redesign the School as a More Productive Workplace for Teachers and Students

11. Begin the Process of Reducing Class Sizes
12. Provide Safe and Sufficient Classroom Space
13. Provide Sufficient Instructional Materials
14. Develop and Publish a Biennial "Index of Conditions for Teaching and Learning" for Every School
15. Intervene in Schools at Risk
16. Restructure the State Committee on Education and Technology
17. Focus Professional Development Programs on Educational Improvement
18. Define the Role of the Principal
19. Restructure the Management of California Schools
20. Involve Teachers in School Decision-Making
21. Develop Demonstration "Education Policy Trust Agreements" to Formalize Cooperation of Teachers and Administrators in Educational Improvement

III. Recruit Capable Men and Women to Teaching

22. Make Beginning Teacher Salaries Competitive with Other Professions
23. Restore Lost Purchasing Power for Career Teachers
24. Initiate a Statewide Recruitment Campaign for New Teachers
25. Recruit Minority Teacher Prospects at the High School Level
26. Create a Work-Study Program in Public Schools for College Students
27. Offer Additional Service-Payback Fellowships to Prospective Teachers

Note: Subject to Review at the Next Commission Meeting

Commission for the Review of the Master Plan for Higher Education
Amfac Hotel
Woodside/Hillsborough Rooms
San Francisco Airport
San Francisco, CA
October 21-22, 1986
Minutes

Commissioners Present:	J. Gary Shansby, Chairman (10-21); William D. Campbell, Vice Chairman; Seth Brunner; Henry Der; Patsy Estrellas; Claudia Hampton; Harvey Hunt (10-22); George Kieffer; Meredith Khachigian (10-21); Felix S. LeMarinel; Peter McCuen; Edward Mosley; Michael Peevey (10-21); Glenn Rothner; Harold Williams.
Commissioners Absent:	Ray Remy
Staff:	Lee R. Kerschner, Executive Director; Jerome Evans; Julie Fahrenbruch; Murray Haberman; Ronald Saufley.

Call to Order

The meeting of the Commission for the Review of the Master Plan for Higher Education was called to order by Chairman Shansby on Tuesday, October 21, 1986 at 9:30 a.m. in the Woodside/Hillsborough Rooms of the Amfac Hotel, San Francisco, CA.

1. Approval of the September 16-17, 1986 Commission Minutes

Action: It was moved, seconded, and carried that the Commission approve the minutes of the September 16-17, 1986 meeting as distributed.

2. Chairman's Report

Chairman Shansby emphasized that the development of a Master Plan for higher education that is in the best interests of the students and state will require the combined team work of Commissioners, staff, segmental representatives, and others. He encouraged audience participation during discussion of the various issues at Commission meetings.

Chairman Shansby noted that Commissioners received invitations to attend a meeting at California State Polytechnic University, San Luis Obispo, on October 9, 1986, to meet with the President, faculty, and administrators, as well as several members of the President's Cabinet, a group of distinguished business people. He reported that he, Commissioner Hampton, and Dr. Kerschner attended that meeting, which included a very interesting discussion about applied research at the campus and a campus tour.

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At the Chairman's request, Dr. Kerschner provided a brief update on legislative activities with respect to the Commission report "The Challenge of Change." He noted that the Governor has signed the following pieces of legislation:

- AB 3 regarding assessment, counseling, and placement; removed funding pending resolution of the PERS funding debate.
- The Hayden bill establishing two task forces, one on differential funding and the other on faculty; reduced the budget to $250,000.
- The Hughes bill establishing an early warning financial system and providing greater authority for the Board of Governors to intervene with respect to districts having financial problems (legislation stems from the Little Hoover Commission report, but parallels recommendations contained in "The Challenge of Change").
- The Bradley bill providing for pilot studies on 2+2+2 programs. Dr. Kerschner noted, in addition to the Bradley bill, the State University has indicated an interest in 2+2+2 programs and succeeded in obtaining a Kellogg grant aimed at the articulation of traditionally vocational programs.

Dr. Kerschner reported that the Joint Legislative Committee for the Review of the Master Plan for Higher Education authorized its Chief Consultant, Brian Murphy, to begin the process of negotiating an omnibus bill, for introduction in the January 1987 session, that will encompass recommendations contained in the Joint Committee's report which, with the exception of several issues, parallels the Commission's report "The Challenge of Change." He stated that Brian Murphy has estimated that 90 percent of the Commission's report will be incorporated into the Joint Committee's report.

3. What We Can Learn From Other Countries

Professor Martin Trow, Director, Center for Studies in Higher Education, UC Berkeley, addressed the Commission on the subject of "What We Can Learn From Other Countries."

Professor Trow's presentation focused on comparisons between the American higher education system and Northern and Western Europe and Japan. He noted that Britain's Open University has its greatest importance in providing opportunities for access to degree-granting programs for nontraditional students, in a society in which such opportunities are extremely scarce. He emphasized that the U.S., and California in particular, is much richer in degree opportunities for nontraditional students.

Europe has very highly selective and elite systems of higher education and, just prior to World War II, had access rates of between 3 to 5 percent. The U.S. has had a mass system of higher education for over 100 years. The European nations are struggling to create systems with broader access, but those efforts are impeded by the existing elite attitudes and structures. They are looking to the U.S. and California to borrow bits of our systems. The U.S. has an extraordinary commitment to choice in higher education, in that we believe everybody should have as much formal education as they desire. No other country makes that commitment or holds that belief. In addition, there have been no serious efforts to cap total enrollments in this country which creates an enormous diversity. The U.S. also has an enormous mixture of public and private institutions, whereas other countries, with the exception of Brazil, do not encourage private funding.

The U.S. also has a peculiar commitment to the liberal arts or general education. Europe is highly specialized and oriented more toward professional or preprofessional training; they do not understand what we mean by "general education."

The nature of the academic professional is also substantially different in European countries and Japan. Japan has single professors who are usually very powerful and who have assistants. The Professorship is not the expected career grade. In Europe, the Ministries of Education have the central power of appointment over professors, which the Parliment votes on, and they control the budgets, access, examinations, and set standards for the systems. Germany has the same ministries, but the administrative part is not located in the university system. The Rectors or Presidents of the university systems have very limited authority and cannot make decisions, which in turn limits the capacity of the institutions to take innovative steps.

California's Master Plan is almost a unique feature, not only in other countries but in the U.S. California has been rich in higher education opportunities since the beginning and its aspirations high. The University of California competes for top faculty with major institutions in the U.S. and in other countries.

What can we learn? -- It is difficult to borrow bits of the systems. Germany's research activities in the early 19th Century had an enormous impact on the development of American higher education. The American patterns of leadership are beginning to have slow, discernible influences on the European systems. The effectiveness and value of having a strong institutional president has become so apparent that Europeans are trying to give those individuals some influence. However, the Ministries of Education have an interest in not letting those individuals have power. Europe has more to learn from us, at least in regard to organization and structure. Areas where we might envy other countries are in their firm assignments to institutions which prohibits institutional drift and their move away from local links to national links. We can learn from their scholars, their sciences, and from some forms of instruction and their use of the new technologies.

In response to questions from Commissioners, Professor Trow noted that although England has a better student/faculty ratio than anywhere in the U.S., it is extremely expensive which prevents growth. With respect to criticisms other countries might make about American higher education, Professor Trow stated that the liberal European would say we really have too many people in our colleges and universities who should not be there and we have pushed open access too far; we cannot afford to educate so many unqualified people; and, that we have too many institutions that are really not legitimate institutions. With respect to American doctoral programs and undergradute education, Professor Trow stated that France would criticize our lack of a core standard for the first degree; most Europeans care that the first degree has a common meaning and the same quality no matter where you take it. However, Professor Trow pointed out that this does impose a tremendous constraint on the development of their institutions.

In response to Commissioner questions regarding California's 1960 Master Plan, Professor Trow stated that it provided a way of defending institutional diversity. It is difficult to predict or anticipate student numbers, the mix or demand for courses, or developments in the economy. The most effective response to uncertainty is diversity. "If you don't put all your chips in one basket you are more likely to have the resources in place to meet an unanticipatable future."

4. Access to Postsecondary Education in California

Ron Saufley briefly reviewed the changes made in issue paper number one, Access to Postsecondary Education in California, as a result of Commissioner requests from the September 1986 meeting, as well as several suggested revisions or clarifications requested by segmental representatives.

In response to questions from Commissioners, Dr. Kerschner stated that the University of California and the California State University are prohibited from recruiting beyond the top 1/8 or 1/3 respectively. He pointed out that the 40/60 rule is not in statute but represents a consensus of the two universities as signators of the 1960 Master Plan. The 1960 Master Plan recommendation was to adjust the eligibility pool for the University from 15 percent down to 12-1/2 percent, and for the State University from 15 percent up to 33-1/3 percent. Dr. Kerschner stated that the California Postsecondary Education Commission periodically conducts an eligibility study to verify that the two universities are in fact achieving those percentages, but the universities are free to choose their own methods for achieving those figures.

Significant discussion of the various issues and policy options ensued between Commissioners and staff, and with segmental representatives and other individuals in the audience. Subsequent to that discussion, Commission consensus was reached on the various policy options as summarized below.

Eligibility (Issue #1)

- Consensus to delete Option B, alteration of current percentages; Option D, applying percentages to entire high school age cohort; Option E, applying percentages to high school districts; and Option H, retain selective admissions philosophy but eliminate percentages.

- Consensus to retain Option A, current eligibility pools; Option C, expansion of special-action admissions;* and Option G, modified to retain the percentages while broadening entrance criteria beyond standardized tests and GPA. *(It was understood that although Option C would be retained, it was specifically for purposes of further discussion; several Commissioners expressed a desire for data on how well special-action admits do in the universities and what percentage of students enrolled under that category are from minority groups, rather than students classified as "exceptionally talented" such as musicians or football players. Staff noted that the issue paper on "Retention" will address the issue of how well special-action admits perform.)

- o Consensus to move Option F, reserve x number of spaces at institutions of choice for top-scorers on achievement exams, to the issue paper on "Public Schools."

In response to questions from Commissioners Kieffer and McCuen, Dr. Smart, CSU Chancellor's Office, indicated that he would try to provide data on whether the number of UC eligible students attending CSU is greater in pure numbers than those at UC; what percentage of CSU admits come from the top 1/8?

Guaranteed Admissions (Issue #2)

During discussions of the four options contained under this issue, there was general support for retaining Options A and B and deleting Options C and D. However, concerns were expressed that pending discussion of the transfer issue (#3) none of those options should be excluded. There was consensus to revise Option A to read "affirm guaranteed admission to the four-year institutions for all those meeting the established eligibility requirements."

Some of the concerns raised during those discussions are summarized as follows: 1) How do you discuss guarantees in the context of using more subjective criteria for admission? 2) Access issues as they pertain to the central valley need to be given greater attention; 3) Would retaining the status quo address the question of increasing the pool of underrepresented minorities? 4) How do these options affect the capacity of the Community Colleges to handle more lower division students? 5) The possibility for conflicts between Options A and B does exist -- currently CSU is not in conflict, but UC is -- the question is, however, when they do come in conflict which takes precedent? The purpose of the 40/60 rule should be clearly articulated; 6) Should adults (students who have been out of high school for a number of years) be subject to the same admissions criteria? 7) Are the freshmen "take rates" of the two universities substantially higher than in the past? What impact does this have on the Community Colleges' ability to enroll larger numbers of "transferrable" freshmen? 8) The University and State University have not been able to provide the data necessary to determine whether it is less expensive to educate lower division students at the Community Colleges than at the universities (e.g., although the per student appropriation at UC is higher the actual cost may be lower, since UC emphasizes larger lecture classes and instruction by teaching assistants at the undergraduate level); 9) Would Option D, affirm institutions "selecting from" their eligibility pools with the state capping enrollments, be detrimental to the health of the Community Colleges? 10) Can the Community Colleges establish a healthy transfer program in the absence of a policy that includes diversion of a certain number of students back to the Community Colleges?

With respect to discussions regarding the 40/60 rule, Jerry Evans pointed out that the 1960 Master Plan determined that it would be desirable to divert 50,000 lower division students to the Community Colleges. The first 10,000 were diverted using the percentages (12-1/2 and 33-1/3) and the 40/60 rule was used to divert the remaining 40,000 students. The original purpose of 40/60 was diversion of students.

During the discussions, it was agreed that the following additional information or data would be provided to Commissioners and/or staff when available: 1) Board of Regents agenda item on graduate and undergraduate enrollment projections; 2) Information on the historic basis for entitlement or guaranteed admission at the two universities (i.e., when was it first put into writing?); 3) Ann Sutherland noted that the Legislative Analyst will be submitting a report regarding undergraduate costs at UC and CSU in April 1987.

Transfer (Issue #3)

Note: It was understood that Option A would be revised to read "Recommend that the transfer function be recognized as a central 'institutional' priority...", rather than programmatic.

- Consensus to delete Option F, require no further changes in state policy beyond those in "The Challenge of Change."
- Consensus that the remaining options, A through E, would be rewritten and brought back in the form of an option for the draft Master Plan which sets up a four-part system of goals, a time table, a report card (mechanisms for sanctions and incentives to assure compliance), and financing. In addition, staff will bring back a statement that talks about the right of the students to transfer in clear and unambiguous language.
- Consensus that holding CPEC or the Community Colleges primarily responsible for the transfer function was not appropriate.

Nontraditional Students (Issue #4)

Dr. Kerschner reported that he has contracted for several issue papers, one dealing with adult education and the other with extension and continuing education. He stated that staff would prefer to have Commissioners address the policy options contained in this section when those papers are presented. However, Dr. Kerschner requested that the Commissioners offer general comments with respect to the issue of nontraditional students, in order to assist in the development of those issue papers.

The following represents a summary of the types of questions and concerns raised by Commissioners and others: 1) What is the state's obligation to part-time students, reentry students, older students, or students who already have a degree? 2) Is there an appropriate ratio between nontraditional and traditional students? 3) Trying to be all things to all people may get in the way of more important issues and needs - is this issue one of a "wish list versus reality", particularly with respect to financing? 4) At the baccalaureate level, is the purpose of postsecondary education to meet the needs of the traditional 18-20 year olds, or to meet the needs of the state and population demands? 5) The part-time student issue has a direct impact on transfer, particularly given that 70 percent of Community College students attend part-time; 6) Does the nontraditional student issue include immigrants and refugees who may have had a college education in their own countries? 7) Is it possible to recommend either more or less part-timers; can that be controlled? 8) Would the state's needs be best served by putting more resources into campuses like UCLA and Berkeley to accommodate nontraditional students - UCLA has the largest number of extension courses and its facilities are used extensively after 6 p.m; are the needs of LA county being served by what it does, or should all campuses be doing the same thing?

Educational Equity (Issue #5)

As reported in the agenda, because equal educational opportunity - educational equity - entails more than merely access issues, staff decided to postpone discussion of potential policy options until after presentation of the "retention" issue paper scheduled in November. The retention paper will deal with support services, other special programs, attitudes and assumptions, and institutional environments. Equity issues will be clarified further in that exercise.

5. Financing Postsecondary Education In California

Jerome Evans briefly reviewed the changes made in issue paper number two, Financing Postsecondary Education in Califonria, as a result of Commissioner requests from the September 1986 meeting, as well as several suggested revisions or clarifications requested by segmental representatives.

Mr. Evans also distributed copies of excerpts (pages 8 and 57) from a document prepared by the Commission on State Finance, Spring 1986, titled "Annual Long-Term General FUnd Forecast: Fiscal Years 1985-86 Through 1995-96."

Significant discussion of the various issues and policy options ensued between Commissioners and staff, and with various segmental representatives and others in the audience. Subsequent to that discussion, Commission consensus was reached on the various policy options as summarized below.

Pricing Public Postsecondary Education (Issue #1)

- Consensus to delete Option A, eliminate student charges other than those for room, board, parking, and other auxilliary services; and Option C, increase student charges with a corresponding increase in financial aid.

- Consensus to retain Option B, maintain current fee policy, modified as a two-part option indicating that 1) students should pay "x" percentage of the costs with the state paying the rest, student fee increases should be modest and predictable in this policy; and 2) Establish a ceiling or cap on the rate of escalation -- not build in automatic increases.

Differential Pricing (Issue #2)

- Consensus to delete Option B, charge full cost of instruction to part-time students not wishing to fully matriculate.

- Consensus to retain and combine Option A, authorize governing boards to differentiate by level and program in establishing student charges, with Option D, increase nonresident tuition in all three segments to equal the average cost of instruction and related services, and clarify that this represents an authorization and not an instruction (leaves to discretion of the governing boards).

- Consensus to retain Option C, revised to read "Recommend the governing boards establish fees in a manner that will not discourage fully matriculated part-time students from enrolling in additional courses."

Several Commissioners requested, when these issues are brought back in the form of a draft Master Plan, that enough information on the tuition fee issue be included to enable them to make informed judgements; also on the tuition gap issue between public and private institutions.

Allocation of Student Aid Support (Issue #3)

- Consensus to delete Option A, increase state funding for grants but continue to rely on loans as the principal form of aid; Option B, increase state funding for grants to maintain the current grant-loan ratio; Option D, establish a state loan bank; Option G, establish state-administered tuition savings fund or credit union; and Option I, expand loan debt forgiveness and waive nonresident tuition for graduate students in fields where graduate shortages are likely to occur.

- Consensus to move Option J, establish scholarship recognition award program for fixed number of high school graduates, to the issue paper on "Public Schools."

- Consensus to retain Option C, substantially increase state funding for grants to reverse the shift to loans; Option E, increase state support for on-campus and off-campus employment of students; Option F, adopt statutory guarantee that all students will be provided the financial assistance they require...based upon uniform estimates of need -- clarify that the mix of financial aid programs should favor those resources or approaches that are the least costly to the state (tailoring programs to individual needs); In addition, staff will provide cost estimates based on some assumptions about the number of students this program might attract; Option H, modified to delete "require or", permit state grant recipients to perform some form of public service in return for aid.

Concerns were expressed by some Commissioners regarding the requirement of a statutory guarantee under Option F and whether that could potentially lead to law suits against the state. Other Commissioners felt that a statutory guarantee was the best way to encourage low income minority students to consider college. In response to concerns as to whether the state has the administrative mechanisms to carry that policy out on a day to day basis, Dr. Kerschner stated that the issue paper on "Governance" will address student aid administration and governance.

Impact of State Pricing and Support on Independent Institutions (Issue #4)

- Consensus to delete Option A, increase financial aid to match enrollment growth in public and private institutions, but providing for cost increases only at public institutions; Option C, limiting state support for institutionally administered financial aid and apply support to existing portable aid programs; and Otion D, voucher system for public and private institutions.
- Consensus to retain Option B, modified to read "Increase state support for student financial aid to match enrollment growth and raise maximum award amount to the full cost per student at CSU and UC."

In response to a Commissioner request, Bill Moore (AICCU) indicated that he would try to provide some data concerning the percentage of students attending independent institutions that receive Cal Grant awards.

Solicitation of Private Support By Public Institutions (Issue #5)

- Consensus to delete Option A, limit authority to solicit private funds; and Option B, encourage increased private fundraising efforts.
- Consensus to retain Option C, make no changes in existing policy regarding private fundraising by public institutions.

6. Graduate and Professional Education In California

Murray Haberman briefly reviewed issue paper number three -- Graduate and Professional Education in California: The Need for Graduate and Professional Programs; Quality and Content; Access and Retention for Underrepresented Groups; Access for Foreign Students. (Note: Errata sheets for pages 5, 6, 11, 12, 13, and 14 were distributed.)

Prior to Mr. Haberman's review of the paper, Dr. Kerschner stated that staff plans to extend discussion on the Graduate Education paper to three readings rather than two, as a result of conversations with various constituency groups. Subsequent to Mr. Haberman's review, Dr. Kerschner asked that Commissioners offer their general comments and

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critique of the Graduate Education paper rather than focusing on the policy options. He noted that it would be staff's intent to provide a thoroughly revised paper based on comments from Commissioners, segmental representatives, and others in the audience.

Commissioner Hampton, noting that the first sentence on the top of page 70 of the agenda needs an explanation, read, for the record, the following "Statement on Trustee Policy Concerning the Independent Degree in The California State University":

> In November 1985, the Board of Trustees adopted a mission statement for The California State University. One of the elements of that mission statement was worded as follows:
>
> > "...The California State University...offers or proposes to offer instruction at the doctoral level jointly with the University of California and with private institutions of postsecondary education, or independently in the field of education where the need is clearly demonstrated." (First part represents the current situation and the last part [underlined] represents the proposed new situation.)
>
> In the resolution adopting the mission statement, the Board requested California State University representatives "to work with appropriate State authorities, in connection with the Master Plan revision, to offer the independent doctoral degree in education where the need is now clearly demonstrated." The Board also expressed an intent, without reference to the current Master Plan revision, that it "would proceed on professional doctoral education only in limited instances to achieve the mission of public higher education where the public need is great." (This is the statement referred to on page 70 of the agenda.)

Dr. Kerschner questioned whether the phrase "independent doctoral degree in education" included both the Ed.D. and Ph.D. degrees? Dr. Hampton responded that the CSU Trustees were anticipating the offering of the Ed.D. Dr. Smart, CSU Chancellor's Office, indicated Dr. Hampton's comments were correct, but pointed out that "in practice there is little difference between the two degrees; that is why the general wording is used."

Bernard Goldstein, President of the CSU Academic Senate, stated that "If you focus in on graduate education as a whole you must discuss the importance of the master's degree and its role as well as the role of the joint doctorate and independent doctorate. An over emphasis on the independent doctorate reduces or precludes discussion on some of the more important issues. Regarding whether it is an Ed.D. or Ph.D., the mission statement did not really identify a particular degree type in terms of the diploma. I believe the Board adopted a general, overall statement without specifying one particular type of degree."

Commissioners, staff, segmental representatives, and others in the audience engaged in significant discussion and comments regarding the Graduate Education issue paper. The Commission consensus reached as a result of that discussion is summarized below.

- Commission staff will arrange for presentations by the segments concerning their respective roles in graduate education and the context in which they believe the topic of graduate and professional education should be discussed. In addition, a number of Commissioners identified the following types of issues they would like to see discussed in the revised paper: 1) Start with a review of the rationale behind the 1960 Master Plan's development of institutional role and mission statements and, specifically, the rationale for UC having sole authority for granting doctoral degrees; 2) Some explanation and reference to the total graduate education process (e.g., What is graduate education? What is its value? What does it mean to the state? How do we support students in graduate education? Extent to which graduate education becomes a state responsibility?); 3) What is the level of quality and how is it measured? 4) What is the role and appropriate level of support for masters programs? 5) Identify methods that would be used to finance the independent doctorate and the relationship of that financing to other existing programs; 6) What is the role of the joint doctorates? 7) What is the role of independent colleges and universities? 8) What is the role of programmatic accreditation? 9) What types of institutional reviews of their own graduate education programs are conducted?

  In response to Commissioner questions, Dr. Kerschner stated that the issue paper on "Undergraduate Education" is currently scheduled for presentation at the January 1987 Commission meeting.

The meeting was adjourned at 2:50 p.m. on Wednesday, October 22, 1986.

November 19, 1986
Date

Lee R. Kerschner, Executive Director

Note: Subject to Review at Next Commission Meeting

Commission for the Review of the Master Plan for Higher Education
Sacramento Convention Center
El Dorado Room
Sacramento, California
November 18-19, 1986
Minutes

Commissioners Present:	J. Gary Shansby, Chairman; William D. Campbell, Vice Chairman; Seth Brunner; Henry Der; Patsy Estrellas; Claudia Hampton; Harvey Hunt; George Kieffer; Felix LeMarinel (11-18); Peter McCuen; Edward Mosley; Ray Remy Glenn Rothner; Harold Williams (11-19)
Commissioners Absent:	Meredith Khachigian; Michael Peevey
Staff:	Lee R. Kerschner, Executive Director; Jerome Evans; Julie Fahrenbruch; Murray Haberman; Robert Palacio; Ronald Saufley

Call to Order

The meeting of the Commission for the Review of the Master Plan for Higher Education was called to order by Chairman Shansby on Tuesday, November 18, 1986 at 9:25 a.m. in the El Dorado Room of the Sacramento Convention Center, Sacramento, CA.

1. Approval of the October 21-22, 1986 Minutes

Action: It was moved, seconded, and carried that the Commission approve the minutes of the October 21-22, 1986 meeting as distributed.

2. Chairman's Report

At the Chairman's request, Dr. Kerschner reviewed the items currently scheduled for presentation at the January 1987 meeting of the Commission. He expressed staff concern that the current two-day schedule would not provide sufficient time to address those issues and proposed that the Commission consider additional meeting dates. Following discussion there was consensus that the January meeting dates would be extended to three days: January 20-21-22 (Tuesday through Thursday). The meeting will be in a downtown San Francisco location.

Dr. Kerschner distributed copies of a letter from Commissioner Kieffer, expressing his desire that the issue of the 40/60 rule and the eligibility pool versus guaranteed admissions be reopened when the draft Master Plan is brought back next year. There was Commission consensus to do so.

3. Presentations from Postsecondary Segments on Graduate and Professional Education

At its October 21-22, 1986 meeting, the Commission decided to extend discussions on issue paper number three, Graduate and Professional Education in California, to three readings rather than two.

The Commission further directed staff to arrange for presentations at its November 1986 meeting from the California State University, the University of California, and the Association of Independent California Colleges and Universities, concerning the context in which each segment believes the topic of graduate and professional education should be discussed, as well as suggestions as to what the appropriate master planning issues might be.

The following summarizes the segmental presentations received by the Commission on November 19, 1986 (biographical sketches were provided):

Dr. William Frazer, Senior Vice President for Academic Affairs, The University of California

Graduate Education at the University of California is based on two premises. The first is specific to American higher education. In this country, graduate education is localized in colleges and universities; that is to say in those same institutions that educate our undergraduates by in large and not, as in some countries, in specialized institutes. The second premise is specific to California and reflects the role assigned to the University by the Master Plan.

We are just completing a cycle of graduate enrollment planning that has forced us to look at the underpinnings, the basic premise on which we plan our graduate enrollments. Our primary objective is to realize a graduate student body of size, quality, diversity, and balance designed to respond to the changing needs of California and the nation for advanced training and research.

While a number of the state's independent institutions are engaged in front line research, the University of California is the locus of a great deal of the research taking place in California today. The quality of research conducted within the University will determine the quality of the University's graduate programs and the competitive value of its doctoral degrees in the job market.

The existence on our campus of first rate graduate programs, based on first rate research, results in corresponding enrichment of the University's undergraduate programs by providing teaching faculty who are doing forefront research, by providing graduate students who are expert researchers and who also assist in teaching associated with the undergraduate, and finally by providing the opportunities for undergraduate students to participate in the research of their professors in some fields.

Economic forecasts for the State of California and predictions about the job market nationally point to the following needs by the year 2000: 1) renewal of faculty across all of higher education; 2) expansion of academic and nonacademic research; 3) professionals with advanced training to serve in an increasingly complex society; and 4) teachers and educational leaders in the K-12 sector.

We must plan graduate enrollment now to assure that the finest scholars will be preparing to assume the place of those who will retire, so that the quality of American higher education is maintained, while at the same time avoiding the problems in the 50s and 60s when we were producing an over supply of Ph.D.s in some fields and shortages in others. We hope to deal with these problems in our current planning by basing our projections on differential growth in disciplinary fields as best we can forsee. We see this approaching need for faculty renewal as an opportunity and a challenge to increase dramatically the presence of underrepresented ethnic and racial groups, as well as of women in the fields where they continue to be underrepresented.

Advanced education will be needed not only by those individuals upon whom the future of research in higher education will depend, but also those entering an increasingly complex nonacademic job market.

California currently holds a position of preeminence in high technology. Whether it will be able to retain its position and meet the challenges posed by the developments of the Pacific region depends primarily on three factors. 1) outstanding University science and engineering departments; 2) high level of University research and development funding; and 3) strong cooperative ties between the academic and the business sectors.

The University needs to expand its efforts for the preparation of postbaccalaureate teaching credential holders in order to help satisfy both current and future needs in the K-12 sector. Obviously the CSU has always played and will continue to play a predominant role. We must do an appropriate share. Our graduate enrollment plan calls for a new enrollment category, postbaccalaureate credential students, to highlight the University's commitment to expanding its preparation of teachers and K-12 leaders. We are also eager to explore the expansion of our joint doctoral programs in education with CSU.

In addition to overarching consideration of external market demands, planning for graduate education also takes into account a number of internal factors. In the case of graduate students, there are no defined standards of eligibility which, if met, guarantee admission to a graduate program. Instead graduate admission is based on the principal of competition for a limited number of places. Internal factors that affect graduate enrollment planning fall under the three headings of balance, quality, and financial support.

Balance - the number of graduate students in doctoral and doctoral track masters programs must be large enough to form a graduate mass for the effectiveness of the program to attract and retain excellent faculty. At the same time the mix of graduate and undergraduate students should be such that effective education is possible at both levels. We are not striving for simple numerical equality, but rather for an appropriate mix of programs on each campus. Another aspect of balance is the mix of the academic core, the letters and science disciplines, to professional programs. Another is the mix of foreign and domestic students at the graduate level. We believe the University is strengthened and the state enriched immeasurably by the presence of foreign graduate students in our programs.

Quality -- One way in which we monitor quality is our selectivity in graduate admissions. By establishing selectivity as one of our planning principles, we signal our intention to place a higher priority on raising selectivity and quality than on merely expanding enrollments at the current level of selectivity.

Financial Support -- graduate students in general carry a higher proportion of debt than undergraduates. The planning principle of selectivity means that the University must compete for and attract the most intellectually capable students. To do this, the University must offer support packages that are competitive with those offered by other major institutions. Our graduate enrollment planning will not prove to be feasible planning should the sources of financial support, most of which are external to the University, not keep up with the demand for graduate students.

A central affirmative action goal of the University is to bring the ethnic and gender make up of the faculty closer to that of California's population. That goal coincides with the opportunity to hire substantial numbers of new faculty in the next two decades. But merely applying affirmative action guidelines for new hires will not suffice, if minority and women continue to be grossly underrepresented in graduate student ranks. A disproportionate share of those minorities who do enroll for graduate study, enroll in certain professional programs; notably business, law, and health sciences. The University has developed an array of programs to encourage students to aspire to faculty careers in order to expand the pool. For the longer run; the University, in cooperation with public schools, has undertaken programs to improve the preparation for college of minority students. We expect these programs to increase the number of students in the pipeline that leads to doctoral studies and academic careers, but will the increase be enough to contribute to a changing faculty profile that reflects more accurately the growing diversity of California's population?

The relationship between the graduate programs of the University, the complementary programs in the State University, and the very extensive programs in the independent colleges and universities must be considered in total in serving the needs of California. (A table summarizing the planned growth in enrollments from now to the year 2000 was distributed to Commissioners.)

Dr. Robert P. Biller, Executive Vice Provost, The University of Southern California

These remarks represent a single person's assessment and do not represent a consensus of views -- either within the Association of Independent California Colleges and Universities or within the University of Southern California.

Why is graduate and professional education so important? -- Graduate and professional education has a very special contribution to make in inventing the future. The leadership in graduate and professional education is established by that small number of institutions that bear the fierce costs associated with the conduct of such work across a broad spectrum. Of the over 3,000 colleges and universities in the United States, for example, only 57 are recognized by their membership in the Association of American Universities as being fully and broadly engaged in such premier quality research. California has reason for pride both in its public universities (UC at Berkeley, Los Angeles, and San Diego) and in its private universities (Caltech, Stanford, USC) that have been recognized in this way.

It is the doctoral degree that has come to be associated with this premier quality -- both in graduate and professional programs. Absent that deep and substantial involvement in the research process by which these fields are reconfigured, enlarged and extended, a doctoral degree risks confusing a superficial outcome (the award of the degree) with a lifelong commitment to a research and discovery process by which that field is to be developed. That lifelong commitment has been found to be associated with the steady and substantial contact with a community of scholars engaged in and institutionally supported in that process during one's period of apprenticeship.

Why not extend the benefits of doctoral education to a new system and to new sites as suggested in the CSU Doctorate of Education proposal? -- The decision embodied in the Master Plan to concentrate our state's resources where they could make the most difference was a sound one. If every public university endeavored to become research active in a broad range of fields, the cost would be ruinous and the quality outcomes indifferent.

But we have done no favors by not having created credible means for communicating reliable estimates of quality to those seeking to do advanced work at any level, especially at the doctoral level. Caveat emptor is little help if the information upon which an informed choice is to be made is not readily available. Institutional categorizations like "authorization" or "approval" or even "accreditation" are not very useful in helping the potential student sort out whether a particular institution is really excellent or only moderately competent in some field (or even completely incompetent for that matter). It is evident that clearer and more forceful consumer data about such programs, whether offered by public or independent institutions, would be enormously useful.

Are the key problems then in graduate and professional education simply "turf" issues and lack of consumer information? -- No. The key problem is that graduate and professional programs of premier quality in both our public and independent institutions are absolutely essential to the future of California, and we are investing neither sufficiently or well in these programs. Worse, we are rapidly losing ground both to other states and regions, as well as to other societies entirely. California risks becoming a very second-class place indeed unless we can find a way to reverse this trend.

While it is no longer possible for any single educational institution or even system to provide all or even a majority of the leadership necessary in this, we can, when we have learned how better to forge our respective strengths to this common task, make a really major contribution to California over the next generation. That is perhaps one of the central tasks you could help us accomplish in your review and possible revision of the Master Plan for Higher Education. Help us turn from the narrow adjudication of "turf" and claims, and instead focus together on how the opportunities and needs of the citizens of California as a whole are best to be realized through what higher education can make possible.

What then is the most critical problem we face in graduate and professional education? -- The key problem is how can we in California act now to deepen, expand, and pass on to our succeeding generations the structure of opportunities we have inherited?

Higher education is the most important asset California has in dealing with this problem. And the graduate and professional components of that higher education is crucial. It is the graduate and professional sector where all of the investments begin to pay off most handsomely in new understandings, new directions, new technologies, new jobs, and new opportunities. We need to develop the structure of a more effective, ongoing and consequential process for relating our educational and research capacities to our aspirations in California. We also need to develop a number of specific and concrete steps that will improve the contribution that graduate and professional work can make within that overall structure.

How might revising the structure and process of the Master Plan help California? -- One strategy might require an annual report in advance of each state legislative session. This report should focus on the state of higher education's contribution to California, and help the Governor and the Legislature to set priorities. This report should be informed by and take cognizance of an earlier fall report published annually that examines California higher education as a whole, identifying and correlating the contributions of all four systems.

This fall report, prepared under the aegis of CPEC or some new Master Plan generated instrumentality, should focus on the needs of California, rather than simply assuming that the sum of the needs of the four segments of the higher education community can be taken as a proxy for this. The key step in realizing this outcome would be to find a way to institutionalize the replacement of a Master Plan for Higher Education in California by a Master Planning process.

What are some specific steps that would strengthen California by building the capacity for contribution of California's graduate and professional education and research in both the public and independent sectors? -- The list noted here is intended to sketch some of the ways in which a broadened vision on our part might open up substantial new opportunities.

1. Restore the value of the Cal Grant awards; 2. Make student aid fully overt; 3. Diminish the scale of the subsidy by which we attract well-to-do students to public university professional programs; 4. Move to fund more fully the California State Graduate Fellowship program - and consider expanding its reach; 5. Develop a small set of premier faculty awards; 6. Consider afresh the matter of research indirect cost recovery rates; 7. Consider afresh alternative means for meeting urgent capital needs in the independent as well as the public institutions; 8. Develop a Consumer's Guide to Higher Education in California; 9. Encourage the development of a direct and supportive relationship between every elementary and secondary institution in the state, with some California college and university; 10. Develop fuller information and outreach for transfer students; 11. Develop fuller information for other U.S. students; 12. Develop fuller information and more active outreach for international students; 13. Provide tax incentives that encourage partnerships between private business and other such entities, and that encourage public or independent sector professional and graduate programs; 14. Remove tax disincentives to independent higher education; 15. Encourage endowment formation.

What is needed now is not a narrow updating of that earlier accord. What is needed is the development of a structured and ongoing process that holds higher edcuation in California to account. This process should require hard and collaborative work from all of us in advising the state how higher education can make its best contribution to the future of our state's people. This process should build upon the recognition of the strengths of the diversity we have; not allow a bland homogenization in which each of our four sectors does the same thing poorly rather than the different things of which we are on occasion brilliantly capable.

Dr. Robin Scott Wilson, President, CSU Chico; The California State University

We have a large topic before us today, and I would like to disassemble it, suggest in passing how some of its components reflect our confused times and diverse population, and put before the Commission some comments about the distribution of responsibility for graduate and professional education in California.

The older professions, that is, law, medicine, and theology, require various doses of advanced study for practitioners even at entry levels, and medicine piles on top of that a lengthy apprenticeship and, often, special preparation for board certification. One other profession, college professoring, consumes most of the attention of our best graduate schools. It usually requires possession of a doctorate, but that doctorate almost never includes instruction in the practice of the profession. Our most learned men and women master their profession in an uncertain and sometimes brutal apprenticeship and not in the institutions that educated them.

Many of the newer professions do not require advanced education; others may require advanced study leading to licensure or certification, dependeing upon individual state requirements; others still rely principally on the completion of a course of study leading to the master's degree.

This is not a neat system: from the licensed vocational nurse to the board-certified surgeon or post-doctoral biologist working with recombinant DNA is an enormous range of preparation, some of it academic, some of it on-the-job training, some of it theoretical, some of it applied, some of it authenticated by term of study or degree completed, some of it validated by examination or certification or licensure. And as our culture plunges pell mell toward the learning society and the service economy, this confusing congery of professional preparations will not grow neater.

The first duty of the colleges and univeristies in preparing people for the professions is to turn out competent practitioners. People who have committed themselves to the corporate group of practitioners which makes up the profession. Although we must turn out good physicians and lawyers and engineers and accountants, we must also turn out good citizens with all the logical skills a democracy demands of its electorate.

The second duty of higher education is to produce a sufficient supply of able practitioners for the professions. It is natural for those concerned with the efficient utilization of the resources of the academy to be tempted to regulate the flow of young people into this or that profession, a process that works rather well in the controlled economies of Eastern Europe.

Our own national attempts to do this -- most noticeably in the production of health-care professionals -- have been reasonably disastrous. And I hope that this Commission will not be tempted away from primary reliance on the free market choices of students and their parents -- bolstered with the best advising we can provide -- as the determinant of the academy's allocation of resources.

Charged as we are to produce the state's professional person-power, how do we in the academy establish a reasonable division of labor? First, we have wisely settled the preparation of physicians, college professors, nobel laureates, and scholars in all disciplines of the University of California and its peer institutions in the independent sector. The absolute genius of the current Master Plan has been its halt to proliferation of such programs.

In this effort, the State University, the Community Colleges, and their private sector peers play an integral but essentially supportive role in providing the feed stock for the University, and the passage of young baccalaureates and master's degree holders into those graduate programs has been nicely facilitated by the fact that so many graduates of those programs teach and learn in two- and four-year institutions.

How substantial is this effort and other master's-level professional and nonprofessional preparation in California State University? The CSU is a major stockholder in the graduate education enterprise of California, with some 170,000 master's degree holders distributed in every cranny of the state's economy over the past twenty years, a number that grows by nine or ten thousand master's degrees annually.

The CSU graduate programs appeal to both part-time and full-time students. They enroll older students as well as younger students. They serve students who are confined to a particular geographic location and those who are not. They enroll men and women, but increasingly, they enroll women -- now at the rate of 57 percent of our master's degree recipients. And we have some students who are getting a second chance. We are one of the few institutions in California that make it possible to enter in "postbaccalaureate" status to remedy any curricular deficiencies prior to proceeding on to full graduate status. Many students avail themselves of this unique opportunity to change fields or careers.

For example, in California's lively electronics industry, the shortage of computer scientists is now greater than the shortage of electrical engineers. The CSU provides tailored instruction designed to convert dozens of double EE's into master's level computer scientists, and it provides this education, live and interactively by satellite, to California industries wherever their plants may be located, from New York to Oregon, from Washington State to Texas. It is quite feasible to do so in Taipei and Hong Kong.

We need not question the preeminence of the University of California and its peer instiutitons in the education of learned men and women who will spend their lives in scholarly investigation. But as to the rest of the professions -- those requiring preparation for certification, such as school teachers; those requiring a master's degree not dependent on extraordinary laboratory or library resources, such as the master of business administration or the terminal master of fine arts or -- in the CSU -- any one of the 125 other fields of study; and those which require the doctorate, where only modest additional resources are entailed, such as the doctorate in educational administration -- these should be the business of all institutions concerned with graduate and professional education which have the capacity to add significantly to California's supply of trained minds. There is a natural tendency to divide the business of education for the professions along lines of presumed difference in mission, as for example, the presumed gulf separating teaching institutions and research institutions.

It follows that research universities -- because of the pace and intensity of their research, the investment in costly laboratory and library resources, and the direct support of faculty effort outside the classroom -- are the sensible loci for the education of professional researchers. It does not follow that all professionals -- including some bearing the title "Doctor" -- will engage significantly in research once out of the academy. It is these latter professionals, knowledgeable consumers of basic research but not producers of it, irrespective of the level of the degree they seek, whom we must endeavor to educate wherever resources are available to support their learning.

Finally, I ask you to note that we are engaged in no turf struggle here. All of us, I believe, seek to use California's higher education enterprises to their fullest, opening up opportunity to all Californians who can take advantage of it, in every corner of this vast and diverse state.

Subsequent to their presentations, the segmental representatives responded to questions from Commissioners. The following represents a summary of the issues identified with respect to graduate and professional education:

- Student aid (is California using its resources wisely?)
- Coordination of Graduate Education efforts
- Foreign students (benefits and costs)
- Partnerships between industry and higher education
- Financial support for graduate education
- Cooperation with independent colleges and universities
- Research
- Scholarship
- The role of the Master's degree.

Other issues discussed included: 1) 40/60 rule; 2) Transfer; 3) Public school coordination and responsibility; 4) Priorities for teaching and research and quality measurements; 5) Faculty reward structures and outreach; 6) Legislative budget process; 7) Master Plan for "Education"; 8) Minority recruitment; 9) Long-range planning.

4. California Public Schools and Postsecondary Education

James W. Guthrie, Professor of Education and Director of Policy Analysis for California Education (PACE), provided a detailed review of issue paper number four, California Public Schools and Postsecondary Education: Teacher Preparation; College Admissions and the Secondary Curriculum; and the University Research Agenda. (Distributed as a handout at the Commission meeting.)

Questions and concerns raised during discussion of the issue paper included:

- The issues identified for higher education would generally be considered within the traditional roles of the postsecondary institutions; should the Commission be asking the institutions to establish any new directions or policy with respect to the public schools, in addition to enhancing the traditional roles?

- Should the issue of the quality of administrative preparation also be addressed? Dr. Guthrie stated that California currently prepares 4-5 times as many administrators as there are entry level positions available in the state. The cost to acquire a state license to be an administrator is very low and the amount of income foregone would be minimal, particularly if an individual is successful in obtaining an administrative postion. As a result, many more individuals sign up and obtain administrative service credentials than can reasonably be expected to serve in those positions. He suggested some possible options might be to 1) close down some of the administrator training programs in the state and reallocate those resources, 2) charge full tuition (because the return on the investment is extremely high), and 3) require the raising of admissions standards for those programs.

- New structures -- If higher education officials are not willing to take the risks to assert leadership, then new structures will not solve the problems; need to find incentives that will gather their attention.

- Licensing and Standards -- Although California is not up to the national average in per pupil expenditures, spending more money is not the whole answer. We need to move to more rigorous licensing and higher standards for teachers, even if that leads to some short term dislocations. Commissioner Hunt pointed out that California, when faced with teacher shortages, has traditionally lowered standards in order to meet that need. He emphasized his concern that this Commission, as well as the California Commission on the Teaching Professions, should recognize that is not the way to respond to need.

- Teacher Career Ladders -- An important policy would be to enable the best teachers to earn as much as administrators and begin to turn around the view that "in order to get ahead you have to get out of the classroom." Development of career ladders in which the very best could have the prospect for high salaries could begin to address the problem. The mentor/teacher programs are a step in the right direction, but those programs have not been fully funded.

- Class Size -- Minimal reductions in class size are not likely to result in any improvement or achievement gains on the part of students. Substantial reductions would also require substantial increased funding. California's average teacher salaries are higher than most states, which is part of the reason for larger class sizes. In addition, in conjunction with the Legislative Analyst, PACE conducted an analysis of class size and the availability of classroom space; some schools do not have anymore room to reduce class size.

Subsequent to that discussion, Commissioners raised the following questions and concerns with respect to the various policy options:

- Consensus that the majority of the options were too weak and should be strengthened.

- Consensus that the option for "a new structure for training teachers and coordinating research" needed to be clarified as to whether the proposal is to create a new structure that would replace the existing structure, or an add on to the existing structure. If it is a new structure, the college faculty in the independent colleges and universities should be added to the option. There was some consensus that a better strategy might be for the Commission to identify the priority it sees in addressing this issue and specifically outline those areas in which it believes the institutional heads should proceed; charge them with the responsibility for developing structural responses that could provide some assurances with respect to, for example, better coordination of admissions standards and continuity of research activities.

- It was suggested that the option regarding "certification" should address either the concept or include a requirement that prior to the granting of a teaching credential those individuals go thorugh a period of practice teaching, student teaching, or some type of internship to help evaluate their skills and ability as teachers.
- It was suggested that the "research" option be further articulated. California must develop the ability to focus its research activities on the particular issue of teacher education.

5. Retention in California's Postsecondary Educational Institutions

Ron Saufley briefly reviewed issue paper number five, Retention: Retention and Graduation from the Four-Year Institutions; Older, Part-Time and Other Nontraditional Students; Remediation; Equal Educational Opportunity. Dr. Kerschner also briefly reviewed some of the comments made by segmental staff representatives, the chief executive officers advisory group, and the student advisory group.

Significant discussion of the various issues and policy options ensued between Commissioners and staff and with segmental representatives and other individuals in the audience. The following represents a summary of the various questions and concerns raised and Commission directions to staff:

- Consensus that the options were too prescriptive and should include faculty involvement (e.g., in consultation with faculty senates).

Retention and Graduation (Issue #1)

- Consensus that Option 1, public university governing boards establish programs to improve systemwide graduation rates to the national average by 1995, did not have much substance. A meaningful change in retention rates cannot be achieved absent fundamental changes in the way institutions operate. Need to establish a framework that encourages or requires the institutions to establish comprehensive plans that take into account the existing retention rates and sets some realistic goals and a timetable for their particular campuses.
- Consensus that Option 4, improving retention and graduation rates of special-action students to a percentage of the regularly-admitted student body; Option 5, assessment, counseling, placement, and follow-up programs for all special-action admission students; and Option 6, special-action admissions and summer bridge programs, are closely related to Option 1 and should be reorganizaed as a package. Those options need to be less prescriptive to allow for

some flexibility. With respect to Option 5, there was consensus that a statement should be added to explain why the assessment, counseling, placement, and follow-up programs are being directed at special-action students rather than the entire student body.

- General consensus that although Option 2, expansion of residential facilities within the CSU, may be overly prescriptive, there is "hard evidence" that residential learning environments promote retention and provide for enrichment of the undergraduate experience and, therefore, a statement from the Commission which indicates that is an appropriate expenditure is important.
- General consensus that Option 3, establishing faculty reward structures and allowing for differentiated systems of faculty roles and evaluations to encourage greater interaction with students, should be reworded as an encouragement rather than an order. Concerns were also expressed as to whether this option would be consistent with the collective bargaining process.
- Consensus to delete Option 7, make no recommendations regarding retention and graduation.
- General comments -- 1) Are there institutional policies regarding standards of satisfactory progress? 2) Need, in all areas, to emphasize the problems that have to be solved as well as possible solutions.

Older, Part-Time and Other Nontraditional Students (Issue #2)

Significant concerns were expressed by Commissioners that there was not sufficient evidence or data to determine whether there is a need for greater University involvement in meeting the needs of nontraditional students beyond what they currently do, and that there would be significant cost factors for the University of California in this area. Dr. Kerschner pointed out that although there are no specific data or long term projections pertaining to nontraditional students, there are data which indicate that the average age of the student body is increasing. He also emphasized there is no carefully articulated policy with respect to support for older, nontraditional students nor any definition as to exactly who those students are.

Subsequent to that discussion, there was general consensus that the Commission did not have enough information to recommend either the expansion of current support services and programs for nontraditional students by the California State University, or the establishment of such support services or programs by the University of California. It was suggested that the Commission might encourage the governing boards of the two universities to determine whether the needs of nontraditional students are being met.

Remedial Courses (Issue #3)

- Consensus to delete Option 1, UC and CSU phase-out all remedial courses, except for special-action students.

- General consensus to retain Option 2, establishing academic floors for UC and CSU, although significant concerns were expressed that, notwithstanding the Commission's recommendations for the Community Colleges in "Challenge," the issue for the four-year institutions is not the same.

- General consensus to retain Option 3, UC and CSU continue to provide remediation based on assessment, counseling, placement, and follow-up, for the purpose of further clarification as to whether such programs really belong in the four-year institutions in the same manner as they do in the two-year institutions.

- Consensus to retain Option 4, UC and CSU grant only work load credit for remedial offerings in English and math.

- Concerns were expressed that the two universities must be encouraged to work with the public schools toward the goal of eventually eliminating the need for remedial work at four-year institutions. A statement to that effect should be included in the options.

Equal Educational Opportunity - Educational Equity (Issue #4)

Significant discussions were held regarding this issue. In response to Commissioner comments and concerns, Dr. Kerschner stated that although there are numerous programs dealing with equal educational opprotunity, affirmative action, and educational equity, they are, at the moment, in the domain of small groups and not perceived as an overall campus or institutional responsibility. In the past, many such programs have been federally funded and/or formed by outside groups forcing them on the institutions. That, in turn, has resulted in attitudinal problems as to where the responsiblity for educational equity lies. Ultimately someone must be accountable for the success or failure of these programs, and for the efficient use of the funds invested in such programs.

Although no Commission consensus was reached, the following specific concerns were identified by individual Commissioners: 1) Option 1 - the CSU Advisory Council recommended that the issue of educational equity be "integral to the mission of the institutions," and it was suggested that the Commission reconsider using that phrase. However, several Commissioners expressed concern that they did not understand what that would mean; 2) would evaluating faculty and top administrators to determine their effectiveness actually mean that their tenure, compensation, and promotion would be influenced by their success in achieving this goal? Dr. Kerschner noted that those decisions would be left to the governing boards to decide. Several Commissioners acknowledged that although this would help focus attention on these issues, it probably would not be possible to implement; 3) there was general consensus among the Commissioners that the language of the text was still very confusing as to exactly what the problem is we are trying to solve and how the options address that problem.

Following that discussion, a suggestion was made that the Commission consider postponing this issue pending the selection of its recommendations in all other areas to see how they relate to and support the goal of educational equity.

6. Faculty Resources in California Postsecondary Educational Institutions

Robert Palacio briefly reviewed issue paper number six, Faculty Resources in California's Postsecondary Educational Institutions: Recruitment; Tenure and Alternative Terms of Employment; Evaluation and Reward. Dr. Kerschner also briefly reviewed some of the comments made by segmental represenatives, the chief executive officers advisory group, the student advisory group, and the faculty advisory group.

Subsequent to significant discussion of the issues and options contained in the issue paper on faculty, there was Commission consensus that additional data and background information needs to be provided in a number of areas to help clarify and support the options. Specific data for California needs to be added (most of the data is national). Significant reorganization of the options will also be necessary.

A summary of the various questions and concerns raised during the course of that discussion follows:

Adequate Supply of Faculty and Professional Staff (Issue #1)

- Consensus to delete Option 1, recommend no public policy.
- Consider reorganizing the remaining options into two categories -- affirmative action and quantity. A third category of "quality" was suggested, but Dr. Kerschner noted that it would be very difficult to articulate state goals with respect to quality standards between faculty who are hired in very different combinations and for very different purposes. He noted that the undergraduate issue paper will address faculty quality with respect to teaching but not research. During the course of discussions, it was suggested that the quality issue might be more appropriately addressed separately.
- Consider including in Option 3, statewide program for early identification, recruitment and training of potential students for faculty positions, a mechanism for training and supporting individuals dedicated to teaching at the postsecondary level, using a model similar to the one proposed by Frank Newman for the public school systems (teacher corps).
- Consider building in a statement in Option 4, junior faculty recruitment programs that corresponds with current early and phased retirement programs, indicating that there may be some monetary savings in replacing senior faculty who receive a much higher rate of pay with junior faculty receiving a lower rate, even with some monetary incentives for persons to retire early.

- Concerns expressed that Option 5, seeking private funds for recruiting and appointing junior faculty to tenure track positions, was not a viable option because it has the potential of creating programs in areas that may not be of the highest priority to the state, simply because the funds are there; private funds tend to be given for distinct purposes.

- Commissioners requested that staff obtain information about: 1) Current faculty retirement systems, and 2) Provide additional information on the issue of alternate sources of supply; this might suggest some help in the affirmative action area as well.

Part-Time Faculty, Alternative Terms of Employment, Tenure (Issue #2)

Part-Time Employment

- Comments and suggestions included: 1) Permit the use of part-time faculty whenever it is to the advantage of the institutions and the students, rather than suggesting strict limitations or expansion; 2) Need more information to determine whether or not there really is a problem; description of the magnitude; 3) Look at further integration of part-time faculty into the ongoing aspects of the institutions; and 4) Need to clarify what the term "part-time" really means or includes (e.g., full-time faculty teaching overload are counted as part-time).

Alternative Terms of Employment

- Comments and suggestions included: 1) Identify the benefits that are derived from security of employment as well as the drawbacks; 2) More information on the concept of academic freedom; 3) Add statement that endorses the concept of tenure but expresses concern that, in practice, it is not what is implied on paper; accountability properly rests with the governing boards who must exercise enough direction in monitoring the tenure system; 4) Certain standards and criteria should be developed that address productivity; 5) What percentage of faculty receive tenure? 6) The Commission should identify what it would like the tenure system to be; 7) Do institutions have established grievance procedures for students who are dissatisfied with a particular faculty member's performance? 8) Is there a need for greater student involvement in the tenure review process? 9) Focus on the criteria used in reviewing tenure rather than tenure itself; 10) Are the mechanisms of post-tenure review and follow-up adequate? 11) Add an option for a pilot program which allows tenure to basically exist as is, but gives faculty members the alternative to remove themselves from tenure in favor of three-year rolling contracts and a higher salary.

Faculty Evaluation and Reward (Issue #3)

- Revise Option 1 to read "make no specific recommendation..."

- General comments and suggestions included: 1) Do we really train Ph.D.s or equivalent people how to teach? 2) In order to evaluate teaching you must examine the criteria that exists for evaluating teachers - what do we mean by quality teaching and how do you assure it? 3) Are faculty actually being punished for working with public schools by virtue of the reward structure? 4) Should evaluation of teaching and research be coequal? (Currently they are not.) Should the UC give greater weight to research over teaching in its evaluation (2/3 - 1/3) and the CSU giver greater weight to teaching over research? 5) The current system rewards the goals of the disciplines and there appears to be no mechanism for rewarding the goals of the state, the institutions, and the students; 6) Rather than being prescriptive the Commission should define the various problems and concerns and chastize the governing boards, who are ultimately accountable; a public report card.

7. Budgeting State Support for California Postsecondary Education

Jerome Evans briefly reviewed issue paper number seven, Budgeting State Support for Public Postsecondary Education: The Budget Process; Performance Incentives; and Cost Containment.

Discussion of the various issues and policy options ensued between Commissioners and staff and with segmental representatives and other individuals in the audience. The following represents a summary of the various questions and concerns and Commission direction to staff.

Budgeting and Appropriating State Support (Issue #1)

- Specific Commissoner comments focused on Option 5, supplemental support. Concerns were expressed that this could result in tremendous costs in terms of research. The suggestion was made that the same goals could be approached through disincentives, whereby no new programs could be established or existing ones expanded absent required progress.

- It was also suggested that an option be added to address the potential under-used capacity in the independent institutions (put additional dollars into student support programs, thereby not having to invest in the construction of buildings).

Cost Containment for Public Postsecondary Education (Issue #2)

- General consensus to delete Option 1, Legislature establish a ceiling on costs related to enrollment and the price index for higher education costs.

- Comments and suggestions on the remaining options included: 1) Need to articulate the difference between the regular review of the budget process and some type of special review focusing on fundamental changes that might impact costs; 2) In establishing the budget for postsecondary education, the Governor and the Legislature should take into account the contributions of the independent colleges and universities; 3) Cost containment measures that might be established should not simply layer on additional kinds of reviews and controls.

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The meeting was adjourned at 3:45 p.m., Wednesday, November 19, 1986.

December 17, 1986
Date

Lee R. Kerschner, Executive Director

Note: Subject to review at next Commission meeting

Commission for the Review of the Master Plan for Higher Education
Sheraton Plaza La Reina
Laguna Ballroom
Los Angelas, California
December 16-17, 1986
Minutes

Commissioners Present:	J. Gary Shansby, Chairman (12-17); William D. Campbell, Vice Chairman; Henry Der; Patsy Estrellas; Claudia Hampton; Harvey Hunt; Meredith Khachigian; George Kieffer; Felix LeMarinel; Peter McCuen; Edward Mosley; Michael Peevey (12-16); Ray Remy; Glenn Rothner (12-16); Harold Williams
Commissioners Absent:	Seth Brunner
Staff:	Lee R. Kerschner, Executive Director; Jerome Evans; Julie Fahrenbruch

Call to Order

The meeting of the Commission for the Review of the Master Plan for Higher Education was called to order by Vice Chairman Campbell on Tuesday, December 16, 1986 at 9:30 a.m., in the Laguna Ballroom of the Sheraton Plaza La Reina, Los Angeles International Airport.

1. Approval of the November 18-19, 1986 Minutes

Action: It was moved, seconded, and carried that the Commission approve the minutes of the November 18-19, 1986 meeting as distributed.

2. Chairman's Report

Vice Chairman Campbell briefly reported on the meeting held by the Governor with education sector leaders, K-12 through graduate school. The first part of the meeting included some general statistics reflecting what has occurred in California in the past four years: Education's share of the budget in 1982-83 was $21.7 billion and in 1986-87 has increased to $30.7 billion. Currently, out of the total state budget, 55 percent goes toward education. Given Article XIIIB of the State Constitution (Gann spending cap), we have reached a point where, to a great extent, there will be no large percentage increases in the near future in the (a) amount of state budget diverted toward education (will remain at 55%) and (b) while the amount would grow within that (assuming the state continues to grow) that growth would be limited to relatively small increases.

The Governor was concerned that, when you look at the budgets prepared by the segments there are a lot of built in increases and what he wanted to see happen was for the segments themselves to analyze their budgets and break-away from the type of "zerox-based" budgeting that is traditionally known in Sacramento (starting new programs with no real attempt to phase-out others). The Governor requested that the segments comment and provide advice on the priorities within their budgets.

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Vice Chairman Campbell also reported that the heads of the academic senates and others gave unqualified support to the Commission's report "Challenge of Change" and expressed their hope that the Governor would support the priorities in that report and the Omnibus legislation, assuming it meets the intent of the report.

Dr. Kerschner noted that during the meeting with the Governor, he had pointed out that there is no statewide mechanism for answering the questions the Governor raised and indicated that the issue paper on governance would attempt to address the question of how the State can establish priorities within education, including the public schools.

Several Commissioners expressed concern that the Master Plan should have a vision that will last to the Year 2000 and must be guided by that -- what is important for the Master Plan for Higher Education in the State of California. It may be encumbant for the Commission to prioritize some of its recommendations but it should not feel constrained to a zero-sum game.

3. Vocational Education and Training in California

Dr. W. Norton Grubb, Graduate School of Public Affairs, UC Berkeley, and L.B.J. School of Public Affairs, University of Texas at Austin, provided a detailed review of issue paper number eight, Vocational Education and Training: Community Colleges and High Schools; Vocational Education and Job Training; Two-Year and Four-Year Institutions; Private Vocational Training; Planning and Evaluation; General and Specific Vocational Education: State and Local Control; Equity.

Significant discussion of the various issues and policy options ensued between Commissioners and staff and with segmental representatives and other individuals in the audience. The following is a summary of the various questions and concerns raised and Commission direction to staff.

Division of Responsibility for Vocational Education (Issue #1)

° Consensus to retain Option D (Community Colleges given principal responsibility for vocational education), amended to read that the "Community Colleges be given principal responsibility for coordinating vocational education between secondary and postsecondary programs. Some concerns were also expressed that the text should be clarified to indicate that many highly qualified high school students choose to go into vocational programs (not seen as a put down to those students); clarify that this option does not imply "exclusive" responsibility, but that the high schools role should be more general and broadly based (less committed to training for jobs or with materials that are not current).

° Consensus to delete Options A (no recommendation), B (new coordination mechanisms), C (state agency superior to both SDE and Chancellor's Office), and E (single state agency to receive federal vocational education funds, other than SDE or CO).

Relationship Between Vocational Education and Job Training (Issue #2)

° Consensus to retain Option B (various mechanisms for coordination between the Community College and job training programs without changing governance roles), rephrased to emphasize the point made in the text following the option.

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- Consensus to retain, for purposes of further discussion, Option A (no recommendation on the relationship between Community College and job training).

- Consensus to delete Option C (changing governance of job training programs and the Community College programs).

Concerns expressed by Commissioners and other individuals included: 1) "Employer-based" job training is not directly related to a Master Plan for Higher Education; 2) What has been missing at the state level is overall policy making; 3) There is some very specific information about job placement in relationship to performance -- standards are collected at the state level and summarized in an annual report to the Governor.

Responsibility of the Community Colleges and Four-Year Institutions for Vocational and Occupational Programs (Issue #3)

- Consensus that this issue should be brought back as part of CPEC's role for program approval in general under the governance issue paper; not focus on vocational education programs only. Dr. Grubb cautioned that CPEC is more oriented toward academic programs and that the Commission should not assume that by simply folding this responsibility into CPEC's role that voational programs will be given the same emphasis.

Private Vocational Training (Issue #4)

- The primary focus was on a combination of Option A (no recommendation regarding private sector vocational education) and Option C (private vocational institutions be required to participate in a state system of student data collection). However, staff requested that the Commission wait until the issue of how the state assures quality control in those institutions is presented before eliminating Options B and D.

During discussion of this issue, the following points were offered: 1) the Master Plan Commission should recognize this "fifth" segment as one of the major resources for providing postsecondary educational opportunities with respect to vocational education in the state that the Community Colleges may not be able to provide for; 2) Consensus that staff would have the flexibility to move Option D, regarding the regulatory powers of the Private Postsecondary Education Division, to the issue paper on governance (if deemed appropriate).

Enhancing Planning and Evaluation of Existing Vocational Programs (Issue #5)

- Suggested that this issue be rephrased to ask whether the Board of Governors' responsibility for planning should encompass these activities, depending on the type of responsibility it is given with respect to governance. Dr. Grubb again cautioned the Commission that the danger in folding issues concerning vocational education in with other issues is not that it would get more prominence but less; vocational education has been the step-child of education. The reason for pulling it out is to restore it to a place commensurate with the number of students in it.

The Balance of General and Specific Education in Vocational Programs (Issue #6)

- Consensus to bring back a policy option that combines the essence of Options A (support development of more general forms of vocational education), B (Chancellor's Office monitor development of short term job training...and other forms of specific training in the Community Colleges), and C (Chancellor's Office establish policies on occupations for which short term certificate programs are sufficient...) General thrust that reenforces the academics in the high school and continuity between programs.

- Consensus to delete Option D (make no recommendation).

Commissioner Hunt noted that he would like to see a slightly stronger relationship between academic programs and certificate programs than Option C implies, but stated he did not disagree with the option.

4. Coordinating California's Systems of Higher and Lower Education

There was Commission consensus to postpone the second reading of issue paper number four until its February 1987 meeting.

5. Retention in California's Postsecondary Educational Institutions

Dr. Kerschner briefly reviewed the changes made in issue paper number five, Retention in California's Postsecondary Educational Institutions, as a result of Commissioner requests at the November 1986 meeting, as well as several suggested revisions or clarifications by segmental representatives.

Significant discussion of the various issues and policy options ensued between Commissioners and staff, and with segmental representatives and other individuals in the audience. Subsequent to that discussion Commission consensus was reached on the various policy options as summarized below:

Retention Within and Graduation From the CSU and the UC (Issue #1)

In response to Commissioner requests, Dr. Kerschner noted that the retention rate issue and the reward structures would be discussed with the faculty advisory group at its next meeting.

- Consensus that 1) Commissioner concerns regarding the issue of "targets" was "how to accomplish that--agreement that the institutions should not be let off the hook by setting their own goals," but how do you accomplish that? 2) The issue of retention and faculty involvement in student interaction is important, however, it must be clarified that this issue is not about "advising" but faculty/student interaction of which advising is a subset; suggested that Option C be amended to delete the words "particularly in the area of academic advising" at the end of the option; 3) General support for differentiated reward structures provided it is understood that would not change the very nature of the institutions; 4) Rephrase options so they are less punitive (take cognizance of the difficulties institutions face); 5) Concerns expressed regarding use of word "similar" in Option 1 -- how would that be defined? 6) Indicate the need for better student tracking mechanisms.

Commissioner Kieffer expressed concern that issues such as residential facilities have not been monitored over a sufficient number of years to determine whether they can in fact make a difference. He indicated his belief that the Community Colleges should be addressed in the same context as UC and CSU in this issue.

Offering of Remedial Courses within the CSU and the UC (Issue #2)

- Consensus to add the following phrase at the end of Option 1 "...and students directed to instruction at other institutions." It was agreed that Options 1, 2 and 3 would be retained and the general thrust of those brought back in the draft Master Plan.

Commissioner LeMarinel expressed concern that "if ESL is not remedial the term will have to be defined somewhere."

Consensus that staff will check on the status of the Intersegmental Task Force report that was an outgrowth of the original CPEC remediation report, and on Commissioner Der's assertion that the Educational Testing Service provides no method for testing out in languages other than common European.

Older, Part-Time and Other Nontraditional Students (Issue #3)

- General consensus to retain Option 2 (to determine whether needs are being met and, if not, provide appropriate mechanisms within the context of the institutions to meet those needs). Commissioners agreed that this option at least permits the Commission to express concern in this area, while leaving the flexibility to the institutions with respect to determining how best to meet unmet needs. Commissioner Remy expressed concern that the option should be rewritten to reflect that the state should not shut off access to qualified, competent people because they are nontraditional.

6. Budgeting State Support for California Public Postsecondary Education

Jerome Evans reviewed the changes made in issue paper number seven, Budgeting State Support for California Public Postsecondary Education, as a result of Commissioner requests at the November 1986 meeting, as well as several suggested revisions or clarifications by segmental representatives.

Significant discussion of the various issues and policy options ensued between Commissioners and staff, and with segmental representatives and other individuals in the audience. Subsequent to that discussion, Commission consensus was reached on the various policy options as summarized below.

Budgeting and Appropriating State Support for Public Postsecondary Education (Issue #1)

Commissioner discussions focused on Options 2, 4, and 5; no options were deleted. General comments and concerns included: 1) Option 2 (reviewing current budget formulae), clarify that this would be "periodic" and that this would have no impact in terms of the total budget; 2) Option 4 (CPEC including student performance measures in its annual report on segmental budgets), clarify whether this would be accomplished by campus or by system; 3) Option 5 (supplemental support for the segments) - (a) too much built into the option; would cost more than any benefits that might be derived, (b) should establish incentive funds and categorical programs to provide seed money in those directions, rather than "pegging" programs, (c) indicate what the Commission's priorities are and indicate the importance that the budget allocation should reward those but not with supplemental appropriations -- consensus to pursue incentives but not those identified. Commissioner Remy pointed out that incentives and penalties built into the budget process is one thing, but providing supplemental funding or taking away funding outside the budget process is something entirely different -- clarify what we are talking about.

Cost Containment for Public Postsecondary Education (Issue #2)

- Consensus to retain Option 1 (controlling specific cost factors to finance new programs and services from savings), Option 2 (thorough study of potential methods of reducing state supported costs), and Option 4 (diverting students to comparable independent institutions with excess capacity).

- Consensus to delete Option 3 (make no recommendation).

7. Statewide Organization of the California Community Colleges

The Commission in its report The Challenge of Change recommended that:

> 55. The Legislature make no change in Community College district organization while the Commission continues its examination of alternative local governance structures, including enhancement of the existing structure.

Staff appointed two well known and highly respected educational consultants, Frank Bowen and Lyman Glenny, to make an independent examination of Community College district organization and to report their findings to the Commission. That report was included with the agenda. It represents the consultants views and was developed without Commission staff involvement to insure its independence.

The consultants' report contained six recommendations -- the major thrust of the report was, "The Board of Governors and the 70 districts should be recognized as a regulatory coordinating system in which: (1) the Board has statewide policy, planning, research, and accountability as primary responsibilities; and (2) local district boards continue as governing systems, setting local policy, and exercising all responsibility not explicitly enumerated, defined, and delegated by the State to the Board of Governors.

Frank Bowen and Lyman Glenny provided a detailed review of their report "Statewide Coordination of the California Community Colleges" and responded to numerous questions and concerns raised by Commissioners and staff, some of which are summarized below:

1) Passage of Proposition 13 dramatically changed the state's role with respect to funding for local Community Colleges and significantly impacts issues regarding governance; 2) The recommendations do not go far enough in proposing change and creating a strong Community College system; 3) The ability to retain diversity in educational offerings to meet local need would not necessarily be curtailed by a strong central system; 4) How would policy be implemented under the model proposed? 5) What would the relationship between the Board of Governors and a statutorially established advisory committee be? 6) How would issues regarding fiscal accountability, core curriculum, articulation, etc. be resolved under this model; 7) What leadership and powers would be delegated to the Board of Governors? 8) Comments in the report that the Chancellor's Office lacks ability to do certain things misses the point that those things are being done by the Legislature now; 9) Other than giving some budgetary authority to the Board of Governors, it may not be possible to accomplish anything more if the credibility of the Board and Chancellor's Office has not improved with the Legislature.

There was general consensus that those recommendations that would help strengthen the Board of Governors should be pulled out and identified to facilitate discussions of Community College Governance at the January 1987 meeting.

8. Additional Views on Community College Governance

David Mertes presented a statement on behalf of the CCCT/CEO Task Force on governance regarding the Bowen/Glenny report on "Statewide Organization of the California Community Colleges." In summary, he expressed the Task Force's belief that that the Bowen/Glenny report "is an exceptionally positive next step on the road to improved governance and accountability for the California Community Colleges. The Trustee/CEO Task Force would welcome the opportunity to resolve the Community College governance issue within the framework of the New Partnerships (its own report) and the Bowen/Glenny proposals. In our view, the proposals offer the governance and accountability processes that are consistent with the major principle that this Commission has already adopted -- open access to higher education for the adult citizens of California."

Dr. William Pickens, Director, California Postsecondary Education Commission, gave a presentation concerning the issues he felt would be helpful to the Commission in its consideration of issue paper number nine -- Community College Governance. In summary, Dr. Pickens expressed his concern that the Bowen/Glenny report does not address the central problem that "the finance and governance system of the Community Colleges is fundamentally at odds." The financial responsibility is vested at the state level based on formulae unsuited for postsecondary education. The Community Colleges are unable to explain their needs on an on-going basis; there is a feeling amongst members of Boards of Trustees that the fiscal state of their districts is outside their control (certainly in times of crisis) and the decline in interest for serving on local Boards of Trustees has resulted in the ability of special interest groups to dominate the electoral process. Dr. Pickens suggested that a means should be found to provide fiscal flexibility at the local level to raise revenues (e.g., the Legislature has taxing authority that could be turned over to the local districts). Second, some resources should be given to the Board of Governors to provide them with some of the flexibility that the UC Board of Regents and the CSU Board of Trustees currently have. Third, the Master Plan Commission should go on record supporting certain flexibility in the imposition of fees that would stay with the districts (at least 10%).

After responding to a number of questions and concerns raised by Commissioners and staff, Dr. Pickens emphasized his belief that the "rigid budget formulas are the single most difficult and pressing issues in postsecondary education today."

9. Community College Governance

Jerome Evans briefly reviewed issue paper number nine, Community College Governance. Significant discussion of the various issues and policy options ensued between Commissioners and staff and with segmental representatives and other individuals in the audience. A summary of Commissioner directions to staff follows.

- Bring back the Bowen/Glenny report, modified by the recommendations the Commission has already made in Challenge of Change, with particular attention to the budgetary process and personnel selection.

- Bring back a model that would require reduction of the 70 districts to a smaller number (would not necessarily be exclusive of the first model).

- Bring back options that provide alternative choices set out in parenthesis from which the Commission can select (e.g., the Policy Advisory Council proposed in the Bowen/Glenny report could be established as an [advisory] [statutory] body.)

- The listing of alternatives considered earlier by the Commission in Challenge of Change (numbered as items 1, 2, and 3 [pp. 7 & 8 of the issue paper]) should be incorporated as options for further consideration at the January 1987 meeting.

- Option 2 (2.3) concerning the Board of Governors discretion in allocating annual state support appropriations among the districts should be strengthened to provide for "development" as well as allocation.

10. Interdistrict Attendance Among the California Community Colleges

Jerome Evans briefly reviewed issue paper number ten, Interdistrict Attendance Among the California Community Colleges. Significant discussion of the issues and policy options ensued between Commissioners and staff and with segmental representatives and other individuals in the audience.

Cedric Sampson, representing the Los Angeles Community College District, reviewed the various issues and concerns of the LA District with respect to "free flow," particularly as they pertain to inner-city campuses and the deterimental effect a policy of "free flow" might have on the ability of those campuses to survive.

Significant discussion of the concerns raised by the LACC District representative ensued. A summary of Commissioner direction to staff follows:

- Consensus to retain Option 3 (Board of Governors granted sole authority to restrict interdistrict attendance) and Option 4 (basic state policy shall be no restrictions on interdistrict attendance).

- Consensus to delete Option 1 (make no recommendation) and Option 2 (Community College district be free to control interdistrict attendance under existing provisions of the education code).

- Consensus that staff will distribute, with the January agenda, the data provided by the Chancellor's Office, as well as other correspondence received over the past few months concerning the "free flow" issue.

The meeting was adjourned at 3:35 p.m. on Wednesday, December 17, 1986.

January 22, 1987
Date

Lee R. Kerschner, Executive Director

Note: Subject to Review at next Commission meeting

Commission for the Review of the Master Plan for Higher Education
Holiday Inn Financial District
San Francisco, California
January 20-22, 1987
Minutes

Commissioners Present:	J. Gary Shansby, Chairman (20); Seth Brunner ; Henry Der; Patsy Estrellas; Claudia Hampton; David Jolly; Meredith Khachigian; George Kieffer; Felix LeMarinel; Peter McCuen (20/21); Edward Mosley (20/21); Michael Peevey (20/21); Ray Remy (20/21); Glenn Rothner (20/21); Harold Williams (20/21).
Commissioners Absent:	William D. Campbell, Vice Chairman.
Staff:	Lee R. Kerschner, Executive Director; Jerome Evans; Robert Palacio; Ronald Saufley

Call to Order

The meeting of the Commission for the Review of the Master Plan for Higher Education was called to order by Chairman Shansby on Tuesday, January 20, 1987 at 9:30 a.m. at the Holiday Inn Financial District Hotel, San Francisco, CA.

1. Approval of the December 16-17, 1986 Minutes

Action: It was moved, seconded, and carried that the Commission approve the minutes of the December 16-17, 1986 meeting as distributed.

2. Chairman's Report

Chairman Shansby reported that Bill Honig has designated David Jolly to represent him at the January 1987 Commission meeting, because Harvey Hunt was unable to attend. The Superintendent of Public Instruction is the only Commission member specifically authorized to designate a representative.

Commissioners discussed the Commission's meeting agenda and plans for February, March, and April and agreed that the February meeting would be converted to a three-day regular Commission meeting with no public hearing and the March meeting dates would include two days of public hearings rather than one. The first draft of the Master Plan will be presented at the April 1987 Commission meeting. (See Attachment A for the revised Commission Meeting Schedule.)

Chairman Shansby reported that the Joint Legislative Committee has adopted its report on the Community Colleges which, for the most part, supports the Commission's recommendations as contained in "Challenge of Change." The Joint Committee staff is in the process of preparing legislation for introduction into the current session.

3. Interdistrict Attendance Among the California Community Colleges (Issue Paper #10)

Jerry Evans briefly reviewed Issue Paper #10, Interdistrict Attendance Among the California Community Colleges, which was prepared in response to ACR 54. He noted that the Board of Governors report on interdistrict attendance and supporting data were provided as a separate enclosure to the Commission agenda materials as requested by the Commission in December. Staff recommended that the Commission affirm its earlier decision as outlined on page 13 of the agenda.

Action: It was moved, seconded, and carried that the Commission affirm its earlier decision and recommend "that the basic policy of the state shall be that there be no restrictions on interdistrict attendance and that the Board of Governors be granted sole authority to temporarily restrict interdistrict attendance where in its opinion such attendance would result in overcrowding or would otherwise unduly jeopardize the educational programs or financial health of a district.

4. Governance of California Postsecondary Educational Institutions (Issue Paper #9)

Jerome Evans reviewed the changes made in Issue Paper #9, Governance of California Postsecondary Educational Institutions, as a result of Commissioner requests at the December 1986 meeting.

Note: Commission discussions began with issues 2 through 5 as first readings, and ended with discussion of issue 1 (Community College governance), as a second reading. Dr. Kerschner noted that the entire issue paper (issues 1-5) would be brought back in February for final review and consideration.

Chairman Shansby instructed staff to bring back Issue Paper #9 as the first item for discussion at the February Commission meeting.

Significant discussion of the various issues and policy options ensued. Subsequent to that discussion, Commission consensus was reached as summarized below.

State and Local Governance of the Community Colleges (Issue #1)

° Consensus to retain Option 1 (reaffirm Community College governance and finance recommendations in "Challenge" and adopt Bowen/Glenny recommendations with modifications), with Option 2.1 accomplished by "regulation" rather than statute. Some concerns were expressed that this option should be rewritten to highlight those areas that specifically strengthen the Board of Governors and the Community Colleges (e.g., financing).

° Consensus that Option 2 (authorize Chancellor to assist in selection and periodic evaluation of district chief executive officers) was not workable as currently written, although there was some interest in the concept of the Board of Governors' ratifying those appointments. Staff will bring back a revision taking cognizance of Commissioner discussions.

° Consensus that Option 3 (regional districts) be deleted, however, staff was directed to come back with an option that specifically identifies what the proponents of this option really meant (i.e. a centralized system). Dr. Kerschner stated that it would be staff intent to come back with an option "at a higher level of generality than is currently before the Commission to force the basic, fundamental decisions as opposed to the details (e.g., line authority, elected boards vs. appointed boards, etc.)

Policy Direction for Student Financial Aid (Issue #2)

° Consensus to delete Option 2 (CPEC as policy formulating agency) and Option 3 (make no recommendation).

- Consensus to retain Option 1 (Legislature explicitly identify Student Aid Commission in the statute as the policy formulating agency for student financial aid), revised to provide more details and better defined, particularly with respect to the composition and the role and powers it would be taking on (e.g., majority of public members on the Commission as opposed to institutional representatives).

In response to requests from Chairman Shansby and several other Commissioners, Dr. Kerschner stated that staff would try to provide a summary of CPEC's history and its role and limitations.

Long-Range Planning for Postsecondary Education in California (Issue #3)

- Consensus to delete Option 2 (assigning responsibility for supervising long-range planning to the Department of Finance or Governor's Secretary of Education).

- Consensus to retain Option 1 (CPEC supervise long-range planning activities) combined with Option 3 (each segment continue responsibility for preparing its own long-range plans). Commissioner comments and suggestions included: 1) providing a definition of long-range planning; 2) assuring that planning activities are consistent with a common set of planning assumptions; 3) define what is meant by "supervise and coordinate"; 4) what is the appropriate number of years for long-range plans and how often should they be reviewed.

Financing and Management of Segmental Programs (Issue #4)

Dr. Kerschner noted that according to intersegmental staff representatives there are some 20 to 30 intersegmental programs in addition to the 4 listed in the text. He indicated that staff would try to put a list together so that the Commission has a better sense of the magnitude of those programs. Dr. Kerschner also indicated that a brief description of the intersegmental budget committee would also be provided.

- Consensus to delete Option 3 (no recommendation).

- Commissioner discussions focused on the Education Round Table and its role, composition, authority, and funding rather than the specifics of Option 1 (CPEC administering intersegmental programs) and Option 2 (establishment of a joint program[s] board[s]). Dr. Kerschner noted that absent a statutory base for the Education Round Table funds could not be appropriated to it. Several Commissioners indicated that making the Education Round Table statutory might be a better way to go than one coordinating board for all and should be further explored.

Intersegmental Coordination of Governance and the Coordination or Governance of Public Education at all levels (Issue #5)

- Consensus to delete Option 1 (single governing board for all public postsecondary education), Option 2 (single policy-making board for public education at all levels), and Option 5 (cabinet-level secretary for postsecondary education to advise the Governor).

- General consensus to retain Option 3 (single statutory advisory body for public and private education) for further discussion. Several Commissioners suggested that staff explore this idea with Superintendent Honig, William Pickens, President Gardner, and Chancellor Reynolds.

- General consensus that a new option be provided that would establish the Education Round Table as a statutory body that would provide statewide coordination and advice with respect to all public and private education in the state (responsibility would be advisory and would not be seen as competing with executive leadership).

- Although there was little support for Option 4 (cabinet-level secretary of education to advise the governor at all levels), there was general consensus that this option should be clarified as to its intent, size, and scope and brought back for further discussion.

5. Undergraduate Education in California Postsecondary Educational Institutions (Issue Paper #11)

Ronald Saufley reviewed Issue Paper #11, Undergraduate Education in California Postsecondary Educational Institutions, Significant discussion of the various issues and policy options ensued. Subsequent to that discussion, Commission consensus was reached as summarized below.

The Missions and Priorities of the CSU and the UC in Relation to Undergraduate Education (Issue #1)

In response to questions from Commissioners and staff, Commissioner Williams expressed his belief that the UC would state its primary mission at the present time as graduate education and research. Dr. Justus pointed out that the current student body mix of undergraduate to graduate is 80/20 respectively. She acknowledged that the University is unable to provide data on how its resources are allocated between graduate and undergraduate instruction.

There was Commission consensus with respect to the various options that the use of the word "primary" and "coequal" was ambiguous and that either a definition or a different set of terms should be provided. Concerns were also expressed that some clarification is needed as to whether Option 2b reflects what is in the 1960 Master Plan and, therefore, a status quo option.

- Consensus to delete Option 1b (Undergraduate education as the primary UC mission), Option 1e (eliminate lower division education from the UC mission), and Option 3 (UC and CSU establish their own mission priorities within the context of the 1960 Master Plan).

- Consensus to retain Option 1a (Graduate education and research as primary UC missions) and 1c (Undergraduate and graduate education and research to be coequal UC missions), with Option 1d (differentiation of missions among the various UC campuses) becoming an example to 1c.

  Consensus to retain Option 2a (Undergraduate education as the primary CSU mission), Option 2b (Undergraduate education through the masters degree to be coequal CSU missions) with a clarification as to whether this is a status quo option, and Option 2c (differentiation of missions among the various CSU campuses) for purposes of further discussion.

- Consensus to retain Option 4 (UC and CSU publish clearly defined mission statements, subject to review by CPEC), with the clarification that CPEC's role would be one of providing an opportunity for public scrutiny but not approval authority. In response to Commissioner questions, Dr.

Kerschner noted this option is an attempt to identify, for the student, the goals and objectives of the individual campuses within systemwide roles and missions.

- Concerns were expressed by several Commissioners, particularly with respect to Option 5 (role of general education and liberal arts in the universities missions) and Option 6 (internationalism and diversification in the UC mission), that it is difficult to separate discussion of the universities missions from the issues of curriculum implementation as raised under issue #2. It was agreed that decisions regarding these options would be held in abeyance pending review and discussion of issue #2. However, there was Commission consensus with respect to Option 5 that a clarification be made that the liberal arts and general education includes both the arts and sciences, and that the option should specifically identify the problem it is trying to solve.

Curricular Goals, Objectives, and Evaluation in the UC, CSU, and CCC (Issue #2)

- Consensus to retain Option 1 (policy to assure the establishment of clear curricular objectives tied to curriculum development), revised to stress the roles and responsibilities of the governing boards for assuring that the institutions they govern meet their obligations within their respective missions (report card concept). Several Commissioners expressed concern, however, that the rephrasing should not be so broad and general that it becomes impossible to measure institutional responses. (Note: Option 6 to be combined with Option 1.)

- General consensus to retain Option 2 (common core curriculum of general education offerings), with Option 3 (policy of two full years of general education for students intending to pursue baccalaureate degrees), Option 4 (expansion of programs and curriculum regarding international and multicultural education), and Option 5 (foreign language competency) becoming subsets of Option 2. Some concerns were also expressed that a statement be included that stresses the importance of foreign language competency in the K-12 system.

- General consensus to retain Option 6 (systematic institutional evaluation of curricular and program offerings) and combine it with Option 1.

- General consensus to retain Option 7 (CEOs and accrediting agencies) for purposes of further discussion.

- General consensus to delete Option 8 (make no recommendation).

Incentives for Undergraduate Teaching within California's Public Segments of Higher Education (Issue #3)

- Several Commissioners expressed support for the inclusion of a statement or an option that stresses the value of or enhances access to independent institutions in order to promote healthy competition which might also lead to improvement of the quality of undergraduate instruction within postsecondary institutions. Commissioner Remy noted that better competition in the marketplace will create a better environment for both the researcher and the teacher because it will require a higher set of skills in order for the institutions to continue to be competitive.

- General consensus to retain Option 1 (teaching counted equal with research in faculty evaluations) and Option 3 (differentiation of faculty roles) pending a discussion of the issue paper on faculty. Some concerns were expressed that "scholarship" needed to be defined and comparable reward systems established.

- Consensus to retain Option 2 (teaching given primacy in the evaluation of faculty). Some concerns were expressed that "more compulsion" is needed in this option and a recognition that the faculty are as much a part of the problem in regard to peer review as anyone else in over-valuing research and under-valuing teaching.

- General consensus to retain Option 4 (teacher training programs for new faculty prior to entry in the classroom), although several Commissioners expressed concern that this option "does not go far enough", and Option 5 (appropriate incentives for teaching) for purposes of further discussion.

- Consensus to delete Option 6 (make no recommendation).

6. Graduate Education and Research in California Postsecondary Educational Institutions (Issue Paper #3)

Patricia Bourne reviewed Issue Paper #3, Graduate Education and Research in California Postsecondary Educational Institutions. Significant discussion of the various issues and policy options ensued. Subsequent to that discussion, Commission consensus was reached as summarized below.

Division of Responsibility for Maximizing Research Productivity and Premier Undergraduate Education (Issue #1)

- General consensus to delete option 1a (UC expand research function), Option 1e (hiring full-time researchers in organized research unit), Option 1f (establishment of independent research institutes), Option 2a (parity between UC and CSU regarding research and doctoral training), and Options 4 a-c (status quo).

- General consensus that the remaining options would be retained with direction from the Chair that staff would rewrite and/or reorganize the remaining options in accordance with Commissioner discussions. Some of the comments and concerns expressed by individual Commissioners included: 1) Should not accept the existing course load at CSU as a given as implied in the text; 2) Need to keep the distinction between undergraduate education and research (not coequal); 3) Undergraduate education must be enhanced so that it becomes a strong #2 within the University of California; 4) Some concern expressed that the establishment of a distinct graduate faculty would result in a two-tiered system with undergraduate faculty being considered low status. However, several others expressed their belief that the two-tiered system already exists; 5) What would be the budgetary implications, particularly with respect to making undergraduate education and graduate education coequal within the UC?; 6) Provide information regarding the role of the independent colleges and universities in the provision of graduate education and research; 7) Provide an explanation or definition of instructionally related research (suggestion made that the term be changed to "instructionally related scholarship").

Should Graduate Education be more Accessible? (Issue #2)

The discussions focused primarily on Option 2 (UC and CSU intersegmental group to review all fields in which the doctorate is a practice credential) and Option 3 (joint programs board). However, some support was expressed for retaining Option 1 (CPEC study of need for new doctorates by field) and Option 4 (CSU award the doctorate in education independently) for purposes of further discussion. With respect to Option 4 in particular, there was general consensus to defer a decision pending a review of the CPEC report on the need for the Ed.D. which will be available shortly (staff will provide Commissioners with a copy when it is available).

Some of the comments and concerns expressed by individual Commissioners included: 1) Definition of "need" - does it refer to the need for people who hold that degree in the job market or need that is based on the personal desires of the individual to obtain that degree?; 2) Information as to whether the joint doctoral degree process that currently exists has been utilized to the fullest extent (have those administrative remedies been exhausted?); 3) What are the differences between the proposed CSU doctorate in education and the UC doctorate (practical or applied doctorate vs. a research doctorate); 4) Options 2 and 3 would suggest something like the Education Round Table which could provide a mechanism to deal with these situations as they arise in the future.

Issues of Internal Policy in Graduate Education and Research (Issue #3)

Should UCs Production of Ph.Ds be tied to demand? (Issue #3A)

Comments and concerns expressed by individual Commissioners with respect to Options 1 through 4 included: 1) In some fields it is extremely difficult to make accurate projections of need; 2) The University should not be held responsible for making sure that jobs are available in the awarding of degrees (students must assume some responsibility for finding out if jobs are available in their chosen fields); 3) What do we mean by "demand" (there is a difference between student demand and manpower demand)?; 4) Should the state provide funding for programs based on the needs of society in general rather than on individual need?; 5) It takes students 5 to 7 years to graduate, but projections concerning need or demand for programs are based on the previous five years.

Evaluation of the Quality of Graduate Programs (Issue #3B)

Commissioner comments and concerns focused primarily on the issue of whether Options 1 through 3 would put the state in the position of "micro-managing the universities" which Commissioners felt would not be appropriate. The burden for that would more appropriately be placed on the governing boards and campuses. Dr. Kerschner noted that the intent of these options was to suggest systemwide program reviews. No Commissioner support was expressed for Options 1 through 3 as currently written.

Mechanisms for Establishing State Research Priorities and Reviews (Issue #3C)

Commissioner discussions focused primarily on Option 2 (CPEC recommendation that the state establish a council for research and technical development), although no consensus was reached. Individual Commissioner comments and concerns included: 1) Are these issues appropriate or at the level of a statewide Master Plan?; 2) The need for more resources going toward research efforts with respect to public schools; 3) Research currently is unfocused (faculty perform research in areas of personal interest).

Recruitment of Minority and Women Students to Graduate Study (Issue #3D)

- General consensus to delete Option 6 (no change).

- General consensus to retain Option 4 (UC and CSU establish methods for departmental accountability in the retention and success of these students) and Option 5 (UC and CSU establish methods to articulate between CSU undergraduate and masters programs and UC doctorate and professional programs).

- With respect to Option 2 (production of graduate degrees among underrepresented students established as a state priority) and Option 3 (tying funding for graduate education directly to the universities success in recruiting and retaining underrepresented students), Commissioners expressed concern that these options needed to be clarified as to their intent.

Access for Foreign Students to Graduate and Professional Degree Programs (Issue #3E)

Some of the comments and concerns expressed by individual Commissioners included: 1) Requested information about tuition charges for out-of-state and foreign students and whether those charges support the cost of their education; 2) Are there departments that are being maintained by foreign student enrollments and should those departments be continued?; 3) Are qualified California students being turned away from programs in favor of out-of-state or foreign students?; 4) Are comparative figures with other states' tuition charges available?; 5) Where does the money actually come from to support these students (federal or state support; individual student or country of origin)?; 6) Are the foreign Ph.D. students teaching other foreign students?; 7) Can the universities discriminate between out-of-state and foreign student tuition charges?; 8) What are the differences in residency requirements for out-of-state and foreign students?

Staff to provide more detailed information on issue #3E.

7. Faculty Resources in California Postsecondary Educational Institutions (Issue Paper #6)

Robert Palacio reviewed Issue Paper #6, Faculty Resources in California Postsecondary Educational Institutions. Significant discussion of the various issues and policy options ensued. Subsequent to that discussion, Commission consensus was reached as summarized below.

Adequate Supply of High-Quality and Diverse Faculty and Professional Staff (Issue #1)

- Consensus to delete Option 1 (no recommendation), Option 3 (governing boards implement multiple strategies for recruiting and appointing permanent faculty and staff), and Option 4 (state continue to support existing goals and programs for faculty and staff recruitment and affirmative action) with the exception that the concept of holding the governing boards accountable be incorproated into Option 5.

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- **Consensus to retain Option 2 (state support long-range planning for faculty and administrator recruitment and development) and Option 5 (state establish statewide program for early identification, recruitment, and training of minority and women undergraduates, graduates, and postgraduate students for faculty and administrative positions) incorporating the concept of holding the governing boards accountable.**

Temporary (Part-Time and Full-Time) Faculty (Issue #2)

Bill Krist, speaking on behalf of the California Faculty Association, noted that a study was conducted by CSU regarding the use of part-time/temporary faculty and should be made available to the Commission. He expressed his belief that "this is a very serious problem and faculty are very concerned regarding the use of part-time/temporary faculty.

Commissioner discussion was very limited and no options were specifically retained or deleted.

Tenure Appointments (Issue #3)

Dr. Kerschner noted that staff will try to provide a better summary of the issues or points that the paragraph at the top of page 16 of the issue paper is attempting to make regarding faculty dismissals.

- General consensus to delete Option 3 (life-time tenure be abolished). However, Commissioner Khachigian noted her intent to raise the issue in the context of the draft Master Plan.
- Consensus to retain Option 1 (academic tenure, rightly understood and properly administered, be affirmed and recognized), strengthened to hold the governing boards accountable for assuring that tenure policies and criteria are properly implemented and to emphasize the phrase "rightly understood and properly administered."
- General consensus that Option 2 (UC and CSU create pilot programs of voluntary rolling contracts) represents a useful means of providing flexibility to the universities and should be retained but separated out from the "tenure" issue.

Faculty Evaluation and Reward in the Public Segments (Issue #4)

- Consensus to delete Option 3 (CSU establish research and/or creative activities as coequal with teaching in faculty evaluations).
- Consensus that Option 2 (UC adopt policy and procedures to assure that teaching is coequal with research in faculty evaluations) and Option 5 (CSU and UC adopt policy to encourage and allow differentiation of faculty roles) be deleted because those options are dealt with in the Undergraduate Education issue paper.
- **Consensus to retain Option 1 (university governing boards examine current policies and practices for evaluating and rewarding faculty), combined with Option 4 (university governing boards establish their own priorities within the Master Plan framework) and Option 6 (university governing boards and community colleges formally recognize services to the public schools as part of their mission and reward faculty accordingly).**

Faculty and Staff Development that will Insure Institutional Vitality and Educational Excellence (Issue #5)

- Consensus to delete Option 2 (no recommendation).

- Consensus to retain Option 1 (university governing boards and community colleges adopt policies that will enhance growth and development of faculty and that will insure their preparation to meet the changing educational needs of the state).

8. Vocational Education and Training in California (Issue Paper #8)

Norton Grubb reviewed the changes made in Issue Paper #8, Vocational Education and Training in California, as a result of Commissioner requests at the December 1986 meeting. Significant discussion of the various issues and policy options ensued. Subsequent to that discussion, Commission consensus was reached as summarized below.

Division of Responsibility for Vocational Education Between High School and Community Colleges (Issue #1)

Commissioner Jolly expressed his concern that the Commission should not narrow its options in this area but should await the public hearings.

- General consensus to retain Option 1 (community colleges given principal responsibility for vocational education coordination), with a statement or explanation regarding the intent of this option (e.g., community colleges have principal but not sole responsibility) and to better reflect the caveats or explanations provided as part of the text.

The Relation Between Vocational Education and Job Training (Issue #2)

- Commissioner discussion focused primarily on Option 2 (various mechanisms to coordinate the community college job training programs, without changing governance mechanisms), with consideration given to the distinction between accountability and coordination (e.g., either expand this option or provide a new option that provides for some accountability). It was suggested that the Commission consider this option in the context of Issue #5, Option B (development of a more comprehensive system of planning and evaluation).

Responsibility of the Community Colleges and Four-Year Institutions for Vocational and Occupational Education (Issue #3)

- Consensus to delete Option 1 (no recommendation) and Option 3 (creation of an office with powers of approval and disapproval in vocational and occupational courses and programs at all higher education levels).

- Commissioner discussions focused on Option 2 (program review office of CPEC strengthened to include vocational and occupational programs). Concerns were expressed as to CPEC's advisory status and whether that might impact its ability to adequately perform such reviews. It was suggested that this option might also be subsumed under Issue #5, Option B (as suggested for issue #2 above).

Private Vocational Training (Issue #4)

- Consensus to delete Option 1 (no recommendation).
- Commissioner discussions focused on a combination of Options 2A (additional studies of private vocational schools) and Option 2B (require private vocational institutions to participate in a state system of student data collection). Commissioner Jolly suggested that some link be provided with respect to the responsibility of the Department of Education in this area as well.

Enhancing the Planning and Evaluation of Existing Vocational Programs (Issue #5)

- Commissioner discussions focused on Option B (development of a more comprehensive system of planning and evaluation) with consideration given to combining this option with the options discussed under Issues 1 and 2 of this paper.

Balance of General and Specific Education in Vocational Programs (Issue #6)

There was no Commissioner discussion of the three options contained under this issue. Chairman Hampton stated that all three options would be retained for further consideration.

Balance of State and Local Control in the Community Colleges (Issue #7) and Equity in Vocational Education (Issue #8)

Issues 7 and 8 were presented for information only and did not contain any options. There was Commission consensus that these two issues would be deleted from the issue paper.

9. State-Supported Noncredit Instruction in the Community Colleges (Issue Paper #12)

Dr. Kerschner emphasized that the document before the Commission represents a staff rewrite with significant editing of the initial paper submitted by Dr. Timar. He noted that Dr. Timar did not have an opportunity to review those changes prior to final printing of the Commission agenda.

Thomas Timar, Far West Laboratory for Educational Research and Development, briefly reviewed Issue Paper #12, State-Supported Noncredit Instruction in the Community Colleges.

Due to time constraints and the lack of a quorum, a detailed review and selection of options was postponed until the February Commission meeting. A summary of individual Commissioner concerns expressed included: 1) The issue paper lacks adequate data and information regarding the subject of noncredit instruction and an identification of the magnitude of the problems the proposed options are attempting to solve; 2) Several Commissioners expressed concern that the decision reached in "Challenge of Change" with respect to noncredit adult education was the most appropriate decision and the issue should not be reopened; 3) Is there a delineation of function question and, if so, how serious is it?

Agenda items 10 (Adult Literacy, Issue Paper #13) 11 (Continuing Education in Four-Year Colleges and Universities, Issue Paper #14), and 12 (New Information Technologies, Issue Paper #15) were deferred due to time constraints and lack of a quorum. These papers will be brought back for Commission consideration at its February meeting as first readings.

The January 1987 Commission meeting was adjourned at 1:30 p.m., January 22.

February 19, 1987
Date

Lee R. Kerschner, Executive Director

Note: Subject to Review at Next Commission Meeting

Commission for the Review of the Master Plan for Higher Education
Red Lion Inn/Sacramento Convention Center
Sacramento, CA
February 17-19, 1987
Minutes

Commissioners Present:	J. Gary Shansby, Chairman; William D. Campbell, Vice Chairman (17/18); Seth Brunner (17/18); Henry Der; Patsy Estrellas; Claudia Hampton; Harvey Hunt; Felix LeMarinel; Peter McCuen (17/18); Edward Mosley (17/18); Michael Peevey (17/18); Ray Remy (17/18); Glenn Rothner (17/18); Harold Williams (18)
Commissioners Absent:	Meredith Khachigian; George Kieffer
Staff:	Lee R. Kerschner, Executive Director; Jerome Evans; Julie Fahrenbruch; Robert Palacio; Ronald Saufley

Call to Order

The meeting of the Commission for the Review of the Master Plan for Higher Education was called to order by Chairman Shansby on Tuesday, February 17, 1987 at 9:30 a.m. in the Sierra Room of the Red Lion Inn, Sacramento, California.

1. Approval of Minutes

Action: It was moved, seconded, and carried that the Commission approve the minutes of the January 20-22, 1987 meeting as distributed.

2. Chairman's Report

Chairman Shansby reported that Robert Palacio will be leaving the Commission staff effective March 1, 1987. On behalf of the Commission, he expressed appreciation for the support Dr. Palacio has provided to the Commission during the Master Plan review process.

During the course of the meeting, the following additional reports were provided:

March meeting schedule: Monday, March 16, will be devoted to a public hearing, with issues concerning vocational education scheduled for the morning and state-supported noncredit instruction (adult education) in the afternoon. Tuesday morning, March 17, will be devoted to a public hearing in the morning on all issues discussed as part of the Master Plan review process, excluding those designated set aside times. Tuesday afternoon will be devoted to presentations on graduate education issues on an "invitation only" basis. The public hearings will adjourn no later than 4:30 p.m. both days. Chairman Shansby noted that there will be an informal Commission dinner Tuesday evening. Wednesday, March 18, is scheduled as a regular Commission meeting. The agenda will include a new issue paper on accreditation, a second reading of the state-supported noncredit instruction issue paper, a third reading on Community College governance, and an additional review of the section of the graduate education issue paper dealing with accessibility (Issue Paper #3, issue #2).

Commissioner Rothner urged the Commission to provide an opportunity for faculty (rank and file) to address the Commission in a "special presentation" format similar to that provided for students and administrators.

At the end of the day on Thursday, February 19, Dr. Kerschner noted that faculty representatives have requested an opportunity to host a reception for Commissioners, possibly as part of the March meeting schedule. Chairman Shansby suggested that the April meeting would be more appropriate and would allow more flexibility in scheduling.

The Commissioners also briefly discussed the Gann spending limit and whether that issue should be addressed in terms of the recommendations that are part of the Master Plan, pointing out what the prospects are for achieving those recommendations if the spending limit remains. There was consensus to include the Gann spending limit issue in discussions regarding the draft Master Plan.

Dr. Kerschner distributed copies of SB 405, introduced by Senator Nielsen, which would extend the life of the Commission from June 30, 1987 to December 31, 1987 with an appropriation of $175,000 to cover operating expenses for that six month period. Dr. Kerschner noted that this legislation is in accordance with the Commission's formal request made during its July 22-23, 1986 meeting. Dr. Kerschner emphasized that this would not change the reporting date of June 30, 1987 for submission of the Commission's final recommendations to the Joint Legislative Committee. He reported that the Department of Finance and the Governor's education advisor are supportive of this request.

3. Governance of California Postsecondary Educational Institutions (Issue Paper No. 9)

Jerome Evans reviewed the changes made in Issue Paper No. 9, as a result of Commissioner requests at the January 1987 Commission meeting.

Significant discussion of the various issues and policy options ensued. Subsequent to that discussion, Commission consensus was reached as summarized below.

State and Local Governance of Community Colleges (Issue #1)

Several Commissioners expressed concern that the Board of Governors' involvement in appointment of district chief executive officers would not be appropriate (Option 1.3). In addition, several Commissioners objected to the sentence in the text, under Option 2 (second paragraph), which seemed to imply that Option 1 was a status quo.

Following significant discussion, Dr. Kerschner stated that staff would identify those characteristics in Option 1 that would apply from The Challenge of Change and the Bowen/Glenny report to any conceivable organizational pattern. Second, staff will bring back skeletal descriptions of Option 1, Option 1½, and Option 2, without the detail that currently exists in Option 1. Those descriptions will display the fundamental distinctions between each option, setting aside those things from The Challenge of Change that do not apply.

Action: It was moved and seconded that the Community College governance issue (#1) be brought back for further consideration at the March 1987 Commission meeting. The motion passed with 2 dissenting votes.

Duties and Composition of the Student Aid Commission (Issue #2)

- Consensus to retain Option 1, with the second paragraph amended to read: "Recommend also that the Student Aid Commission membership be changed to include a majority of public members." The second part of that paragraph, regarding a statutory advisory committee, will be deleted.

Long-Range Planning for Postsecondary Education (Issue #3)

- Consensus to retain Option 1 (CPEC assigned the following responsibilities with respect to long-range planning...), with the last sentence amended to delete "annually" and replace it with "regularly." In response to Commissioner concerns, Dr. Kerschner noted that staff will clarify that those plans would be developed as a result of regular consultative procedures. Mr. Evans pointed out that current statutes mandate that consultation.

- Consensus to delete Option 2 (each segment continue to prepare long-range plans independently).

Financing and Management of Intersegmental Programs (Issue #4)

- Consensus to delete Option 1 (CPEC administer intersegmental programs), Option 2 (statutory joint program[s] board[s]), and Option 4 (California Education Round Table made statutory).

Action: It was moved and seconded that the Commission approve Option 3 (issue #4), creation of an intersegmental coordinating council under the direction of the California Education Round Table. The motion passed unanimously. (Note: Option amended to add the phrase, "and supported by the Chief Executive Officers.")

Cooperative, Coordinated Policy Making Among Postsecondary Segments (Issue #5)

Commissioner Brunner stated, for the record, his disagreement with the characterization in the text that "CPEC seeks consensus..." (page 4, third paragraph under Issue Elaboration).

- Consenss to delete Option 1 (Education Code amended to delete language permitting CEOs to designate representatives to the statutory advisory committee of CPEC).

- Consensus to retain Option 2 (no changes in existing intersegmental coordinating structure).

Effective Collaboration* Between Postsecondary Institutions and the Public School System in Matters of Common Interest (Issue #6)

*Several Commissioners objected to the word "collaboration" and requested that another term be used.

Action: It was moved and seconded that Option 1 (issue #6), single statutory advisory body for all public and private education, be deleted. Further, staff are to clarify that the coordination of effort accomplished through the Intersegmental Coordinating Council (page 39, Option 3 of the agenda) includes the public school system as well. The motion passed unanimously.

- Consensus to retain Option 2 (encourage development of the California Education Round Table as a voluntary coordinating body).

Governor and Legislature Have Necessary Assistance in Establishing Their Priorities for Financing Postsecondary Education (Issue #7)

- Consensus to delete Options 1 and 2 and, rather than making specific recommendations, highlight the need for greater staff support and assistance and leave to the Governor to determine an appropriate mechanism.

4. Student Presentations

At its December 1986 meeting, the Commission indicated an interest in hearing directly from students on issues of concern to them. Dr. Kerschner subsequently discussed this matter with his Student Advisory Committee, which consists of representatives from the UC, CSU, and Community College student associations, with whom he meets on a regular basis. It was agreed that those presentations would be scheduled as part of the February Commission agenda, to be followed by a student reception for Commissioners. The following paragraphs represent a summary of those presentations.

Christopher Calbadon, a member of the Student Advisory Committee, introduced the student panelists, noting that their presentations represent their own opinions, based on personal experiences, and not formal statements of either the student associations or students in general.

Linda Escajeda, Los Angeles Community College District, discussed the issues and problems of reentering students and working parents, noting her belief that, for the most part, the colleges are unprepared to meet their needs. "All, in theory, have access, but there has been little success." She also discussed problems of transfer, dropout rates, and retention issues which she felt are significantly worse in large urban districts which have the greatest concentration of minorities, nontraditional students, and immigrants; the importance of maintaining quality educational standards that assure success but do not result in the restriction of access; the Board of Governors should closely oversee the management of education in the college districts and hold districts accountable; assuring that financial aid support goes to needy students; reducing the complexiy of the financial aid application process; getting information out to the students about the availability of counseling and other forms of assistance; and the need for additional English as a Second Language (ESL) programs and teachers to accommodate students whc do not need remedial courses.

Andy Wong, San Francisco State University (also a member of the Third World Student Union), discussed the importance of the Commission recognizing the changing nature and demographics of the state in developing the Master Plan; concerns about the institutions going increasingly in the direction of elitism and the corporate sector; outreach programs in high schools; minority dropout rates, particularly of Blacks and Latinos; his belief that "education is a right" and not a privilege and stressed the importance of implementing recruitment, retention, counseling, and orientation programs on a permanent basis; expansion of existing summer "bridge" programs; intersegmental coordination; uniform curriculum and admissions policies; availability of financial aid; maintaining open access; and the importance of developing a new and innovative Master Plan that will allow all students to receive an education and realize their goals.

Liam Ferguson, CSU Long Beach, discussed the problems and concerns of urban, commuter students, noting that 70 percent of the students in CSU work part-time; the need for faculty advisors; the need for child care centers; and stressed the importance of meeting the needs of nontraditional students, pointing out that "they are becoming the traditional students at the California State University."

Katherine Day, Mills College, discussed the value of a liberal arts education and stressed the importance of academic advising, good student/faculty relationships, and adequate financial aid, matching funds, and scholarships to help offset the increasingly higher levels of student indebtedness. She noted that the average family income of students attending Mills College is lower than students attending major public universities in California. She expressed her belief that "fine liberal arts colleges should not lose their place in higher education due to these economic forces."

Nathanial Spann, Citrus Community College, discussed the problems of disabled students, not only those with physical disabilities but those with learning disabilities, the hearing impaired, visually impaired, students with dyslexia, etc.; he stressed the need for interpreters, notetakers, and special equipment for these students; access for students in wheelchairs; and the importance of peer counselors and making these students feel a part of the educational process.

Terri Carbough, CSU Humboldt, discussed the problems of undergraduates and residential students; the need for better allocation of resources to support student service programs and activities; lower student/faculty ratios; increased student/faculty contact; resources for faculty development programs; financial aid "has become something for the institutions to use rather than the students;" need for more student counselors; "What is the purpose of higher education? What do we mean by educational excellence? - traditionally, excellence is determined by institutional prestiege or scholarly productivity of faculty -- we need to start advocating more creative ways of determining the educational quality that students receive and encourage more active learning rather than passive learning.

Martin Ramirez, UC Santa Cruz, discussed problems of the graduate student experience, particularly with respect to minority students. He stated that the students who will get in are those that have some background in the field that they are interested in pursuing (not necessarily based on having a 4.0 GPA). They will spend the first two years taking the required courses and developing a research plan, and then spend the next two to three years implementing that research project. In six to seven years the student will receive his or her Ph.D. and be out in the job market. Minority students tend not to have the background or exposure that faculty members want and, therefore, will probably be passed over. Not all graduate students, particularly minorities, get linked with a faculty member during those two years; there is no guarantee a student will be working in a faculty members' lab. There is no support system for minority students to go into these programs. Frequently, a faculty member will pick up students as part of their research grant and the University assumes the faculty member will take care of it. There are only 16 minority fellowship programs for the nine campus University system. The key issues are resources and a greater emphasis on graduate affirmative action programs, as well as improving the teaching assistant experience of students to not only improve the quality of the graduate professors that are ultimately expected to come into the profession, but to also upgrade the undergraduate experience.

Following the above presentations, the students responded to various questions from individual Commissioners.

5. Graduate Education and Research in California Postsecondary Educational Institutions (Issue Paper No. 3)

Dr. Kerschner reviewed the changes made in Issue Paper No. 3, as a result of Commissioner requests at the January 1987 Commission meeting.

Significant discussion of the various issues and policy options ensued. Subsequent to that discussion, Commission consensus was reached as summarized below.

Division of Responsibility Between CSU and UC (Issue #1)

- Consensus to retain Option 1, amended to delete the second half of that option so that it now reads: "Recommend that UC continue to be the primary state-supported agency for research."

- **Consensus to retain Option 2 (CSU as premiere teaching institution...) Note: Commissioner Williams expressed concern that the phrase, "integral to the curriculum" was too restrictive and suggested, "...and faculty research for teaching programs [or] instructionally related..." There was consensus that the last paragraph of the text under Option 2, page 60 of the agenda, should be rewritten to clarify the intent -- that campuses could not deny tenure because they haven't matched the research capabilities of the University of California.**

- **Consensus to delete Options 3a, 3b, and 3c, encouraging faculty to specialize, from the Graduate Education issue paper. Those issues will be addressed during discussion of the Undergraduate Education Issue Paper (No. 11), which contains similar options.**

Should Graduate Education be more Accessible (Issue #2)

Dr. Kerschner requested that the Commission not attempt to reach closure on this issue at the present time.

Individual Commissioner comments or suggestions included: 1) Option 1 should be broken down into two separate options; 2) Issues under Option 2 would seem to fit into the activities of the California Education Round Table as discussed during presentation of the issue paper on governance (No. 9); 3) Some support indicated for the first part of Option 1, but not the second part.

Internal Policy in Graduate Education and Research (Issue #3)

Production of Graduate Degrees Tied to Manpower Requirements (#3a)

- Consensus to delete Option 1 (Regents and Trustees review current production of graduate degrees and adjust enrollments in accordance with projected market needs).

- Consensus to retain Option 2 (CPEC conduct manpower needs studies), making it clear that this is separate and apart from Options 3 and 4. Modify Option 2, wherein some development of the statewide analysis of the opportunities for graduates would be available.

- Consensus to retain the second half of Option 3 (maintaining the current situation) and combining it with Option 4 (UC and CSU publish information about the number of graduate degrees produced each year by department...employment statistics...inform applicants that a list of specific placements is available), but looking at Option 4 in terms of having the information available for those who seek it and including broader information about the market and projections of future needs.

Evaluation of the Quality of Graduate Programs (Issue #3b)

No options were specifically retained or deleted. Some concerns were expressed about the need to define what is meant by quality within the context of this issue. Dr. Kerschner noted that currently there are masters degree programs operating in the state for which, essentially, the application to acceptance ratio is coterminous. He noted that the list under Option 1 could probably be expanded.

Commissioner Remy, noting that he is basically opposed to the creation of additional agencies or organizations, requested that at the time the Commission receives the draft Master Plan, staff indicate what existing institutions are being strengthened, where powers or authority are being taken away, and what institutions or organizations would need to be created. He stressed the importance of knowing where the Commission's recommendations might be focusing coordination and authority and where those recommendations might be fragmenting it. Dr. Kerschner noted staff intent to provide that information.

Mechanism by Which State Research Priorities Could be Established and Promoted and Research Issues Reviewed When They Arise (#3c)

o Consensus to delete Issue 3c, leaving CPEC to encourage state adoption of its recommendation, rather than this Commission.

Recruitment of Minority and Women Students in Underrepresented Fields and Retention (#3d)

No options were specifically retained or deleted. However, the majority of comments focused on Option 3 (Regents and Trustees establish method for articulating between CSU undergraduate and masters degree programs and UC doctorate and professional degrees for purposes of recruiting underrepresented students), and Option 4 (CPEC report annually to the Legislature on known successes...and initiate evaluation studies of those not now being tracked). Commissioner Williams indicated his belief that if Option 1 became a "bounty" it would be more constructive.

Additional comments from Commissioners included: 1) Need for a definition of underrepresented and how it is going to be applied (e.g., for Asians, if you only look at the number getting a master's degree it looks very good, but if you compare it to the number getting the baccalaureate it is a different picture -- Pat Bourne noted that the goal would be to achieve a representation that is a percentage of the population as a whole; 2) Somewhere in the body of the report a definition of terms, such as equity, affirmative action, underrepresented, etc., should be provided.

In response to Commissioner Der's comments about including "equity" issues on the March agenda, Dr. Kerschner emphasized that it would not be possible to identify the various issues involving equity and bring them back in time for the March agenda. He also pointed out that it would not be possible to write one portion of the Master Plan in advance of the first draft.

Enrollment of Foreign Students in Graduate and Professional Programs (#3e)

- Consensus to delete Option 2 (expand programs to encourage greater foreign student participation).

No consensus was reached on Option 1 (full cost tuition charged to foreign students) or Option 3 (continue current policies for admitting foreign students). A number of Commissioners felt there was still not sufficient information to determine whether this is really a major problem. Ann Sutherland suggested that Commissioners be provided a copy of the Legislative Analyst report which deals with the foreign student issue, and seems to suggest that this is in fact a major problem.

6. Undergraduate Education in California Postsecondary Educational Institutions (Issue Paper No. 11)

Dr. Kerschner reviewed the changes made in Issue Paper No. 11, as a result of Commissioner requests at the January 1987 Commission meeting.

Significant discussion of the various issues and policy options ensued. Subsequent to that discussion, Commission consensus was reached as summarized below.

Priority for Undergraduate Education at CSU and UC (Issue #1)

- General consensus to retain Option 1b (Regents affirm graduate education and research as top priorities, while acknowledging a major role in the provision of quality undergraduate education... demonstrate that resources are allocated appropriately), amended to use the phrase contained in Option 1a, "to assure that undergraduate education in the University is at least of equal quality with other University programs in research and graduate education." Some support was also expressed for including the concept of "differentiation of priorities among various campuses" within Option 1b. Commissioner Rothner emphasized his personal belief that setting priorities would automatically under value undergraduate education, thereby allowing past problems to persist.

No consensus was reached with respect to Options 2a and 2b (priorities for undergraduate education within CSU). Individual Commissioner comments included: 1) Support UC being the premiere graduate education and research institution and CSU being the premiere undergraduate teaching institution; 2) See no reason why the University cannot have quality undergraduate programs, even if its primary mission is graduate education and research. Both institutions are capable of providing quality programs within each department even with differentiation of priorities; 3) The role of research on the part of the CSU faculty and production of California teachers are very important functions for CSU; 4) Suggested that the phrase under Option 2a, regarding "organizational, structual, and evaluation systems" should be included in the other options as well; 5) Concern that if both institutions are trying to move up the hierarchy it would be difficult to force them to pay attention to undergraduate education.

- Consensus to delete Option 2c (Trustees establish priority for undergraduate education in the system as a whole, but consider differentiation of priorities among the various campuses).

- Dr. Kerschner noted in his opening remarks that Option 3 (Trustees and Regents publish clearly defined mission statements...prior to publishing submit to CPEC for discussion, clarification, and advice) was not mutually exclusive of the other options and has been amended to reflect the Commission consensus reached and reported in the minutes of the January 1987 Commission meeting. There was no further discussion of this option.

Curricular Goals, Objectives, and Evaluation in the UC, CSU, and CCC (Issue #2)

- General consensus to retain Option 3 (governing boards affirm general education as a central part of the undergraduate mission and adopt policies to facilitate...), amended to include the Community Colleges and making it a more general statement, with some of the wording of Option 2 regarding the establishment of clear curricular goals and objectives and matching curriculum development to those. Several Commissioners expressed concern regarding the establishment of timeframes for general education. Commissioner Hunt, in particular, expressed his belief that "time standards may be sending the wrong message and the focus should be on content area and breadth and depth."

- General consensus to retain Option 1 (governing boards accept full responsibility for undergraduate education and more fully exercise oversight authority) and incorporate it into Option 3.

With respect to Option 4 (accreditation), Dr. Kerschner requested that the Commission defer discussion until it has an opportunity to review the issue paper on accreditation (No. 16) that will be presented in March.

Incentives for Undergraduate Teaching Within California's Public Segments of Higher Education (Issue #3)

- Consensus to retain Option 1 (Regents accept responsibility for quality instruction within the University and adopt appropriate policies and procedures to assure that teaching truly is counted equally with research in faculty evaluations), and Option 2 (Trustees accept responsibility for quality instruction within the State University and adopt appropriate policies and procedures to assure that teaching is given the greatest weight in faculty evaluations), amended to require that those procedures include an annual report to the Regents and Trustees that will provide for some type of performance measure as to the success in meeting this particular objective..

- Consensus to delete Option 3 (Regents and Trustees encourage differentiation of faculty roles).

- o Consensus to retain Option 4 (Regents, Trustees, Board of Governors adopt policies to assure that new faculty as well as teaching assistants are trained in teaching skills prior to entry in the classroom, amended to provide for "on going professional development of faculty" as well.

- o Consensus to retain Option 5 (Regents, Trustees, Board of Governors establish appropriate incentives for teaching in addition to evaluation for retention, promotion, and tenure...), with item (d) of the examples amended to read "...teaching excellence", rather than improvements.

7. Coordinating California's Systems of Higher and Lower Education (Issue Paper No. 4)

Dr. Kerschner reviewed the changes made in Issue Paper No. 4, as a result of Commissioner requests at the November 1986 Commission meeting.

Significant discussion of the various issues and policy options ensued. Subsequent to that discussion, Commission consensus was reached as summarized below.

Schools of Education and Teacher Preparation (Issue #1)

Enhancing the Status and Effectiveness of Schools of Education (#1a)

- o Consensus to delete Option 1 (make no recommendation).

- o Consensus to retain Option 2 (governing boards convey to their respective institutions that schools of education and teacher preparation programs are critically important to the well-being of the state and should be accorded higher priority), and Option 3 (SBE and CPEC cooperatively establish a system of consumer ratings to provide incentives for improving effectiveness of teacher preparation programs).

Standards for Teacher Certification (Issue #1b)

Commissioner Hunt reported on a correlary effort to the Commons Commission recommendation, wherein the state would move to an accreditation process rather than the current system -- state recognition of the accrediting association which accredits educational programs. He also noted that NCATE recently adopted a new series of procedures to allow them to incorproate into their process state development standards. He noted that this has not been made public yet, but felt it was important for the Commission to be aware of in its discussions. Dr. Kerschner noted that such a recommendation would not be contrary to Options 2 or 3, under Issue 1a, but might be supplementary.

- o Consensus to delete Option 1 (make no recommendation).

- o Consensus to retain Option 2 (establishment of new individual-based approach for credentialing teachers) with the understanding

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of the importance of maintaining the dual responsibility not only of attesting to the quality of the graduate, but the quality of the programs being offered through the accreditation process. Dr. Kerschner noted that Commission support of Option 2 does not imply endorsement of the entire Commons Commission Report or the Carnegie Task Force on Teaching as a Profession.

Higher Education Admissions Policies and Secondary Education Practices (Issue #2)

- Consensus to delete Option 1 (make no recommendation), Option 2 (Trustees and Regents expand their cooperative efforts in publicizing jointly their expectations about admission requirements), Option 4 (inclusion of the SBE in the process leading to changes in segmental admissions requirements), and Option 5 (centralizing admission requirement decisions in a nonsegmental body).

- Consensus to retain Option 3 (formal consultation among segments in establishing admission requirements), under the auspices of the CERT Intersegmental Coordinating Council.

Research on Education Conducted in the State's Universities (Issue #3)

- Consensus to delete Option 1 (make no recommendation), Option 4 (Legislature create a new structure for training teachers and coordinating education research), and Option 5 (Legislature create a new agency to stimulate relevant university-conducted research and demonstration activities).

- Consensus to retain Option 2 (Regents and Trustees convey sense to their administrations and faculty that university-conducted research on education should be linked more closely to public school issues), expanded to include Community College issues and independent institutions. It was suggested that this option be expanded to recommend that the public school representatives have a role in articulating to the institutions the high priority issues that they feel need attention through institutional research.

- Consensus to retain Option 3 (Legislature authorize and support an expanded role for the CSU in the conduct of applied research in the field of education), modified to make clear that this refers to adequate financial support.

Establishment of Administrative Means Designed to Better Coordinate California Education on a Statewide Basis (Issue #4)

- Consensus to delete this issue and options, in light of earlier Commission decisions regarding governance and the role of the California Education Round Table.

8. Adult Literacy and Postsecondary Education in California (Issue Paper No. 13)

Dr. Kerschner reviewed Issue Paper No. 13, Adult Literacy. Significant discussion of the various issues and policy options ensued. Subsequent to that discussion, Commission consensus was reached as summarized below.

The Delivery of Adult Literacy Services (Issue #1)

- Consensus to delete this issue and options, deferring to the SBA Associates Study commissioned by the State Department of Education and the needs assessment study recommended by this Commission.

State Support for Literacy Services (Issue #2)

- Consensus to delete this issue and options, deferring to the issue paper on State-Supported Noncredit Instruction (No. 12) to be presented in March.

- Role of the Four-Year Institutions in Reducing and Preventing Adult Illiteracy (Issue #3)

Commissioner Hunt pointed out that the Commission is already planning to comment on the need for greater public application of basic and applied research, noting that this is an important problem and an area in which the universities can make a substantial contribution with existing research capabilities. It was suggested that adult literacy could be highlighted as one part of teacher education responsibilities and that the issue should be left in that context.

Marge Dickenson also noted that CPEC is in the early stages of a study on adult literacy that will identify what postsecondary education can do.

- Consensus that the Master Plan include a strong statement indicating the Commission's concerns about the problem of adult illiteracy and the need to attract illiterate adults back into educational programs. However, the Commission believes the issues identified in this paper can be dealt with in the context of recommendations contained in other issue papers or studies currently being conducted.

9. Continuing Education in California's Four-Year Colleges and Universities (Issue Paper No. 14)

Dr. Kerschner reviewed Issue Paper No. 14, Continuing Education. Significant discussion of the various issues and policy options ensued. Subsequent to that discussion, Commission consensus was reached as summarized below.

Part-Time Degee Programs for Matriculated Students at UC and CSU (Issue #1)

- Consensus to delete Option 2 (ratio of students under age 24 to students over age 24 be established in statewide admission policies).

- Consensus to retain Option 1, amended as follows: "Recommend that the mission statement of the four-year public segments be changed to make a clearly stated commitment to mainstreaming the older, part-time adult student who is eligible to matriculate into ~~regular on-campus~~ academic degree programs."

- Consensus to retain Option 3, amended and combined with Option 1 as follows: "Recommend that primary responsibility for meeting the educational needs of older, part-time adults who are eligible to matriculate be delegated to CSU and reflected in its mission statement."

- Consensus to delete Option 5 (state fund all programs for matriculated students in degree programs with the exception of summer and special sessions), and Option 6 (state fund all programs for matriculated students in degree programs, except off campus, outside regular academic day or year, and nontraditional instruction).

- Commissioner discussions focused on Option 4 (recommend that the state fund all courses and programs for matriculated students enrolled in any degree programs), and Option 7 (recommend that CPEC, in consultation with the Department of Finance and representatives of the postsecondary community, prepare a report comparing the projected costs of Options 4, ~~5, and 6~~. Some Commissioners expressed support for Option 4 but were concerned that, absent some idea of the cost implications, Option 7 would be more appropriate. Mr. Evans noted that staff could provide a rough estimate of the cost, but emphasized it would not be possible to do a profile of those students. There was consensus to defer selection between Options 4 and 7, pending receipt of that information.

Nondegree Oriented Community Service Instruction for Nonmatriculating Students at UC and CSU (Issue #2)

- Consensus to delete Option 2 (all programs for matriculating students be self-supporting with respect to direct cost with specified indirect costs supported by the state), and Option 4 (partial state support for nonmatriculating students in UC and CSU extension).

- Consensus to retain Option 1 (both UC and CSU continue to offer community service courses for nonmatriculating students who do not seek degrees, provided that such programs be entirely self-supporting), and Option 3 (a fund for fee waivers be created to provide state tuition assistance to nonmatriculating students who can demonstrate need).

10. The New Instructional Technologies in California Postsecondary Educational Institutions (Issue Paper No. 15)

Julie Fahrenbruch reviewed Issue Paper No. 15, New Instructional Technologies. Significant discussion of the various issues and policy options ensued. Subsequent to that discussion, Commission consensus was reached as summarized below.

Use of NIT to Enhance the Quality and Effectiveness of the Educational Learning Process (Issue #1)

- Consensus to delete Option 1 (UC give high priority in its research activities to evaluate the impact of technology on the learning process), and Option 3 (make no recommendation).

- Consensus to retain Option 2, amended as follows: "That the CSU, in close consultation with the UC, the SDE, and the Board of Governors be assigned primary responsibility for conducting research in assessing and evaluating the impact the new instructional technologies can have on the learning process at all levels of education, as well as on the organization and structure of the schools of education and traditional college and university disciplines."

Planning and Policy Efforts to Support Effective Integration of NIT (Issue #2)

- Consensus to delete Option 2 (governing boards encourage their institutions to consider the use of NIT), and Option 3 (make no recommendation).

- Consensus to retain Option 1 (institutional governing boards require the development of systemwide policies, in consultation with faculty senates and students, for the effective integration of the new instructional technologies on their respective campuses. Such policies should focus on the development of an infrastructure linking a complex system of hardware, software, and electronic signals with a complex system of people to support their fundamental missions).

Statewide Coordination or Governance Structures for NIT (Issue #3)

- Consensus to delete Option 2 (statewide joint board expanded to include representation from other state agencies and appropriate private sector representatives with sole responsibility for voice and data systems), and Option 3 (make no recommendation).

- Consensus to retain Option 1, amended as follows: "Recommend that the Governor and Legislature establish a joint board comprised of representatives from the CSU, UC, Community College Chancellor's Office, Department of Education, California Postsecondary Education Commission, independent colleges and universities, and appropriate private sector business and industry representatives, with

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the primary purpose and authority for assuring statewide coordination in the development and/or expansion of new information technologies and networks designed to meet instructional/ institutional needs across the state, in accordance with their respective roles and missions. The joint board's membership should include representatives from the statewide academic senates and statewide student associations." The suggestion was made that this might be achieved through linkage of the California Education Round Table with the Caifornia Business Round Table.

Role of NIT in Providing Broader Access to Educational Opportunity (Issue #4)

- Consensus to delete Option 1 (expand option contained in Issue Paper No. 2 on Retention [issue 3, option 2] to include consideration of the use of NIT, and Option 3 (make no recommendation).
- Consensus to retain Option 2 (expand option contained in Issue Paper No. 7 on Budgeting [issue 1, option 2] to include a provision for addressing possible inequities in budget formulaes pertaining to instruction offered via the new instrctional technologies).

The February 1987 Commission meeting was adjourned at 11:40 a.m., Thursday, February 19, 1987.

March 18, 1987
Date

Lee R. Kerschner, Executive Director

Note: Subject to Review at the Next Commission Meeting

Commission for the Review of the Master Plan for Higher Education
Sheraton Plaza La Reina
Malibu Room
Los Angeles, California
March 18, 1987
Minutes

Commissioners Present:	J. Gary Shansby, Chairman; William D. Campbell, Vice Chairman; Seth Brunner; Henry Der; Patsy Estrellas; Claudia Hampton; Harvey Hunt; Meredith Khachigian; George Kieffer; Felix LeMarinel; Peter McCuen; Edward Mosley; Michael Peevey; Ray Remy; Glenn Rothner; Harold Williams
Staff:	Lee R. Kerschner, Executive Director; Jerome Evans, Julie Fahrenbruch; Ronald Saufley

Call to Order

The meeting of the Commission for the Review of the Master Plan for Higher Education was called to order by Vice Chairman Campbell at 9:10 a.m. on Wednesday, March 18, 1987, in the Malibu Room of the Sheraton Plaza La Reina Hotel, Los Angeles, California.

1. Approval of Minutes

Staff reported that a summary of the presentation by Katherine Day, Mills College, concerning the value of a liberal arts education, will be added to page 4, under "Student Presentations", of the February 17-19, 1987 minutes.

Action It was moved, seconded, and carried that the Commission approve the minutes of the February 17-19, 1987 meeting as amended.

2. Chairman's Report

The Commission conducted two-days of public hearings on Monday, March 16 and Tuesday, March 17, 1987. The hearings on the 16th were devoted to issues concerning "Vocational Education and Training in California" and "State-Supported Noncredit Instruction in the Community Colleges." The hearing the morning of the 17th was for any issues concerning the Master Plan review, except those designated set aside times, and the afternoon presentations were devoted to the issue of "access to graduate education." The list of speakers for the public hearings is provided in Attachment A. Copies of written testimony provided by individual speakers have been distributed to all Commissioners not in attendance.

3. Governance of California Postsecondary Educational Institutions
(section on Community College Governance only -- Issue Paper #9)

Jerome Evans reviewed the changes made in Issue Paper #9 with respect to the Community College governance issue, as directed by the Commission at its February 1987 meeting. The agenda item provided three options (covering the same range of choices) in a skeletal form that made clear the fundamental differences among the three. Staff also provided a list of all the recommendations from "The Challenge of Change" and the Bowen/Glenny report, as presented in February, and indicated to which of the three options each might apply. The matrix provided in the agenda compared the principal characteristics of the existing governance structure with the three optional structures.

Significant discussion of the policy options ensued. The following paragraph provides a summary of the various questions or concerns expressed by individual Commissioners, and identifies areas where further clarification was requested.

> 1) Would the Board of Governors' authority to confirm district CEOs also extend to dismissals? 2) Under personnel management, point out that a separate civil service system would be established for the Board of Governors' staff; 3) Would the Board of Governors have or need the authority to organize or reconstitute districts into logical groupings under Options 2 or 3?; 4) The basic difference between "The Challenge of Change" recommendations and Option 2 is, under Option 2, the Board of Governors would have all authority for redelegation, if they so choose, to the districts; existing districts would become management arms of the Board of Governors; 5) "Formal consultation" refers to shared, collegial development of policies, but the final decisions would rest with the Board of Governors; 6) Consultation would include faculty, administrators, and students; 7) Under academic management, clarify that the mandatory assessment, counseling, and placement recommendation from "The Challenge of Change" would remain under Options 2 or 3; 8) Option 2 has the potential of permitting the Board of Governors to run local district operations on a day-to-day basis; the language can be interpreted to mean that the Board of Governors has comprehensive authority for academic affairs (for example) which it may or may not delegate to the local districts and could, therefore, result in an homogenized Community College system (as would Option 3); 9) The Community Colleges cannot currently compete on an equal basis with the University of California, California State Universtiy, or the public schools because they "do not speak with one voice"; Option 3 would seem to provide a better mechanism for the Community Colleges to speak in Sacramento with one concerted voice; 10) Clarification is necessary under Option 2, concerning local district trustees serving on the Board of Governors, in that an individual district representative might have to withdraw from discussion on particular issues (e.g., allocation of funds under financial management) because of conflict of interest; 11) The current system, whereby statewide policy is set by the Board of Governors but the CEOs work for local district trustees who may wish to go in a different direction, puts those CEOs in an untenuable position; 12) The legal ramifications with respect to a Board of Governors that is appointed having the responsibility to delegate certain functions to elected boards should be explored; 13) Should the Commission adopt Option 2, staff should consider an

explanatory addenum pointing out that the authority for financial management, coupled with academic management, would center the locus of attention "not on the Board of Governors, as opposed to the districts," but the "Board of Governors as opposed to the Legislature"; also, explain why delegated authority does not necessarily end up being rigid and disruptive of local district power.

In response to additional comments, Chairman Shansby emphasized his belief that the Joint Committee has taken no action with respect to Community College governance because it is awaiting the Master Plan Commission's report. He pointed out that the cornerstone of "The Challenge of Change" recommendations was that the California Community Colleges be postsecondary in nature and, within that context, the most serious problems they face relate to structure. Chairman Shansby stated that unless the Community Colleges are brought to the level of recognition and prestiege enjoyed by the University of California and the California State University, the Legislature will continue to be involved in "daily dabbling" in the Community College system. Chairman Shansby expressed his personal belief that "a centralized system would give the Community Colleges equal status and clout to deal with the changing demography of the state and allow the Community College system to survive and grow."

Subsequent to Commission discussions, the following actions were taken.

Action: It was moved and seconded that the Commission approve Option 3, centralized state Community College system. The motion failed to pass by a vote of 7 to 8, with 1 abstention.

Action: It was moved and seconded that the Commission approve Option 1, regulatory coordinating board for existing district based system. An amendment was offered to include state governance, under Option 2, deleting the phrase "BoG appoint Chancellor and confirms district CEOs" and, instead, require that the State Chancellor be elected by the people of California; the proposed amendment died for lack of a second. The motion to approve Option 1, as outlined in the agenda, failed to pass by a vote of 4 to 12.

Action: It was moved and seconded that the Commission approve Option 2, unified state/local Community College system with a strong state governing board. The motion failed to pass by a vote of 5 to 9, with 2 abstentions.

Action: It was moved and seconded that the Commission eliminate Option 3, centralized state Community College system, from further consideration. A substitute motion was subsequently made and seconded to eliminate Option 1, regulatory coordinating board, rather than Otion 3 from further consideration; the motion to substitute failed to pass by a vote of 7 to 8, with 1 abstention. The motion to eliminate Option 3 from further consideration passed by a vote of 9 to 7.

Action: It was moved and seconded that the Commission approve Option 2, unified state/local Community College system with a strong state governing board. A substitute motion was subsequently made and seconded, that the Commission take no majority position on the question of governance and let the various campuses present their views; however, the second was subsequently withdrawn and the motion to substitute died. The motion to approve Option 2 passed by a vote of 13 to 3, with the understanding that some language modifications and/or clarifications will be made and will be subject to additional debate during Commission review of the draft Master Plan.

There was Commission consensus to delete the "existing Community College system" from further consideration.

There was Commission consensus that, although the draft Master Plan will address the overall statement in Option 2, staff will provide a separate document or explanatory addendum in accordance with Commissioner discussions.

4. Graduate Education and Research in California Postsecondary Educational Institutions (section on Access to Graduate Education only - Issue Paper #3)

At its February 1987 meeting, staff requested that the Commission delay final resolution on the issue of access to graduate education until its March meeting. Dr. Kerschner noted that the Commission has considered issues surrounding access to graduate education at three previous meetings, and also heard testimony arranged by segmental representatives during its March 17 hearing. Copies of a handout outlining Option 2 and Option 2a were distributed during the public hearing on Tuesday, March 17, and for Commission consideration at its regular meeting on Wednesday, March 18.

Dr. Kerschner pointed out that the purpose of a Master Plan Commission is to provide the mechanisms, processes, and procedures necessary to accommodate changing needs from now until the 21st century. He reported that the segmental representatives have agreed that the options presented in the handout focus the discussions appropriately for the Commission on graduate education access issues. With respect to Option 2 (intersegmental degree programs board), Dr. Kerschner reported that there is a consensus among the various segmental representatives to support creation of such a board. However, with respect to Option 2a (expand Option 2 to provide for an amendment to the language in the Donahoe Act), the California State University believes such an amendment is necessary and in the best interest of the state, while the University of California and independent sector representatives believe Option 2a is unnecessary. Dr. Kerschner emphasized that the interaction between the University of California, the California State University, and the independent sector representatives in developing Options 2 and 2a has been very positive, even though they do disagree on the second part.

In response to questions regarding cost implications, Dr. Kerschner pointed out that it would be the intent of CSU, under Option 2a, that such programs would not be implemented absent explicit legislative funding for such degrees. He noted that the CSU views Option 2a as a compromise from Option 3 (independent doctorate).

Commissioner Williams stated that the Unviersity of California believes Option 2a has the potential for creating a very complex political problem, particularly pertaining to lobbying activities in constituent districts and how the University would go about withdrawing approval should that be deemed appropriate. The University is also concerned that Option 2a puts the Regents in the position of authorizing another governing board to offer a degree, which seems inappropriate.

Commissioner Remy expressed his belief that the case has not been made that overall demand for doctorates in the field of education has increased substantially. He noted there is clear excess capactiy in the independent colleges and universities to offer those programs, which represents a less expensive avenue for the state and decreases the pressure for limited state resources.

Commissioner Hampton stated that the California State University believes Option 2 moves the issue of graudate education access into an arena which could accommodate the needs of the postsecondary educational enterprise into the year 2000. Option 2 provides a mechanism for deliberate, thoughtful discussions of need by an entity whose major concern is the educational welfare of the state and who could very objectively evaluate that need.in all areas. She stated that CSU views Option 2a as "simply an enabling or strengthening of that process to the extent there is assurance that once need is determined there is a way to provide for that need." Dr. Hampton stated that the Board of Trustees would not necessarily be threatened by a decision from the Regents, who have had that authority from the beginning.

Commissioner Mosley emphasized his disagreement with the statements concerning need, noting his concern that "in the valley area there is demonstrated need that is not being met."

Dr. Raymond Geigle, Professor of Policitical Science at CSU Bakersfield and Chair of the Academic Senate, stated that the Senate discussed the issues and the language outlined in the options with respect to what the faculty role would be and how that role would be impacted if CSU moves into the area of doctorate programs. He stated that "the Academic Senate would like to do it, consistent with the mission they have been assigned, while still remaining the primary teaching institution in the state." However, he noted that the Senate had some concerns with respect to Options 2 and 2a, particularly pertaining to what the term "authorized" means. "If after, in good faith, they have gone through all necessary research and procedures and someone has veto power then it is not an intersegmental process at all."

Additional comments and concerns expressed by individual Commissioners included: 1) The belief that there is a proliferation of Ed.D. degrees and that the practical Ed.D. is not required (more important to pursue the idea of the advanced masters and MBA); 2) The goals of teachers within the system could be significantly changed by the additional demands placed on CSU fauclty for research and other workload increases, which could be detrimental since CSU provides the bulk of teachers who teach; 3) The delineation of functions between institutions is important, and the University of California should continue to offer "the menu" for the doctorate in all fields; 4) Those individuals seeking a higher level of education who must also work full time, minorities and women in particular, should have the option of access to degree programs at the lowest possible cost.

Subsequent to Commission discussions, the following actions were taken.

Action: It was moved and seconded that the Commission approve Option 2, intersegmental degree programs board, as outlined in Attachment B. The motion passed by a vote of 10 to 5, with 1 Commissioner absent.

Action: It was moved and seconded that the Commission approve Option 2a, to expand Option 2 to provide for an amendment to the language in the Donahoe Act. The motion failed to pass by a vote of 7 to 8, with 1 Commissioner absent.

Action: It was moved and seconded that the Commission approve Option 1, CPEC study the question of need for increased access to graduate programs. The motion passed by a vote of 14 to 1, with 1 Commissioner absent.

There was Commission consensus to delete Option 3 (CSU award the doctorate in education independently) and Option 4 (no change in current provisions for graudate training).

Immediately following the luncheon recess, Chairman Shansby reported that some questions had been raised regarding the accuracy of the above vote count. He stated that the count, as recorded above, was verified as accurate. Dr. Kerschner also stated that the questions raised with respect to possible alternative language in Option 2a were simply an attempt, by staff, to determine whether some consensus could be reached and should not be interpreted as an attempt to skew the Commission's decision one way or the other.

5. State-Supported Noncredit Instruction in the California Community Colleges (Issue Paper #12)

Jerome Evans briefly reviewed the revisions made to Issue Paper #12, State-Supported Noncredit Instruction in the California Community Colleges (prepared by Thomas Timar as a consultant to the Commission staff). Commission discussion of the various issues and policy options ensued.

In response to questions from Commissioners, Dr. Kerschner pointed out that Option 3 (reaffirm "The Challenge of Change" recommendations) does not address the questions raised under Option 2 (Board of Governors determine which programs are postsecondary and appropriate for the Community Colleges). He noted that current budget act language for the CPEC study raises the question of which programs should receive state support and which should not. However, it does not address the question of which programs are postsecondary and appropriate for the Community Colleges to offer, or which are not postsecondary and should be transferred to the public schools.

Several Commissioners expressed concern that this issue should not have been brought back, noting their belief that the recommendations in The Challenge of Change were adequate. Mr. Evans pointed out that the Chief Staff Director of the Joint Legislative Committee, in a public meeting attended by representatives of various groups interested in "adult education" issues, pointed out that several members of the Joint Committee have requested that the Master Plan Commission continue its study of the issues surrounding state-supported noncredit instruction and noted the intent of the Joint Committee to continue to pursue this issue.

Subsequent to Commission discussions the following action was taken.

Action: It was moved and seconded that the Commission approve Option 3, reaffirm "The Challenge of Change" recommendations, expanded to incorporate the issues identified in Option 2, Board of Governors determine which programs are postsecondary and appropriate for the Community Colleges, with a clarification as to the role and/or sequence with respect to the Board of Governors, the California Postsecondary Education Commission, and the State Department of Education. The motion passed by a vote of 10 to 2, with 1 abstention and 3 Commissioners absent.

6. Accreditation and Licensure of California Postsecondary Educational Institutions (Issue Paper #16)

Jonathan Brown briefly reviewed Issue Paper #16, Accreditation and Licensure of the California Postsecondary Eduational Institutions.

In response to Commissioner questions, Dr. Kerschner noted that Mr. Brown is Vice President of the Association of Independent California Colleges and Universities. He pointed out, however, that Mr. Brown developed issue paper #16 as an independent consultant to the Commission staff, noting that this paper underwent the same type of extensive staff reviews and discussion as the other papers prepared by independent consultants and does not represent an AICCU position paper.

Dr. Kerschner stated the intent of the issue paper on accreditation was to identify the proper role for the state in assuring quality. He stated that at the time staff commissioned the paper on accreditation it was not aware that CPEC had been mandated by statute to review the existing licensure standards for private postsecondary institutions. He stated there is no question in the rest of the country that California is looked upon as a haven for institutions that are marginal, at best, and indicated staff belief that it would not be inappropriate for the Master Plan to at least reassert the process in terms of the report CPEC undertakes.

Commissioner Rothner emphasized his belief that the Commission should not be dealing with this issue at all, as it would seem to be primarily a consumer affairs question. He noted that the paper basically provides a background on the systems that exist, rather than defining the nature or extent of the problem, and indicated he was also not persuaded of the need to include a statement in the Master Plan with respect to the CPEC report.

Commissioner Kieffer expressed his belief that, based on the amount of dollars spent and number of people involved, the questions raised in the issue paper are worth identifying and would serve to reinforce the importance of the issue. However, he agreed with Commissioner Rothner that the issue paper does not provide a clear definition of the problem nor an understanding of the parameters involved. He also noted that it does not seem logically consistent that the licensure process for postsecondary institutions resides with the Department of Education.

Commissioner Estrellas also expressed her belief that accrediting issues represent a major topic in certain parts of the state, and indicated support for at least referencing in the Master Plan the importance of the CPEC review of licensure standards.

Karen Grosz, Santa Monica College, reported that the California Community College Academic Senate recently passed a resolution that the Community Colleges not recognize faculty members whose degrees come from nonaccredited institutions. She stated that the Academic Senate is concerned that faculty members will come into the Community Colleges with degrees from nonaccredited private institutions and be accorded a status the Senate believes would be inappropriate.

Subsequent to additional discussion, there was Commission consensus that a statement with respect to the issue of accreditation would be included as part of the Master Plan. However, staff is to provide a supplementary (2-page) document which outlines the magnitude or nature and extent of the problem. It was suggested that staff provide a list of institutions that fall within the various categories of licensure identified in the issue paper.

The meeting was adjourned at 2:40 p.m. on Wednesday, March 18, 1987.

April 22, 1987
Date

Lee R. Kerschner, Executive Director

ATTACHMENT A

SPEAKERS LIST
MASTER PLAN COMMISSION PUBLIC HEARINGS
MARCH 1987

Vocational Education - March 16, 1987

1. Martin Dodell, President, California State Council on Vocational Education
2. Brian Donahue, California Association of Regional Occupational Centers and Programs
3. Melba Boles, Los Angeles Unified School District
4. Tom Johnson, Association of California School Administrators (ACSA); Assistant Superintendent, Hacienda La Puente Career and Continuing Education
5. Bill Hardy, ACSA; Assistant Director, Semi Valley Adult School
6. Dr. Donald F. Averill, California Community College Occupational Education Center
7. Bill Dixon, California Community Association - California Teachers Association CCA/CTA
8. Diana Marshall, Director, State Job Training Coordinating Council
9. Vicki Dolnick, Principal, Metropolitan Skills Center, Los Angeles Unified School District
10. Dr. Lonny Nelms, Principal, Abram Friedmon Occupational Centers, LAUSD
11. Lee Powers, California Council for Adult Education
12. Marlena Riccioni, California Association of Private Postsecondary Schools
13. Gayle Jasso, Vice President, Security Pacific Bank
14. Dr. Barbara A. Peterson, Project Tide, A Statewide Vocational Education Equity Project
15. Ms. Milo P. Smith, State Solo Resource Project, Vocational Education Division, State Department of Education
16. Enna M. Noble, Vocational Education, Academic Senate for the California Community Colleges
17. Dr. Donna Bellorado, Circle Project, CSU, Far West Lab, San Francisco

18. Dr. Maria Natera, Circle Project, CSU Sacramento

19. Lynn Hung, Education Director, Chinatown Resources Development Center (a community-based nonprofit organization)

State-Supported Noncredit Instruction (Adult Education) - March 16, 1987

1. Dr. Will Hopp, Director, Simi Valley Adult School (representing ACSA)

2. Robert H. Benbow, ACSA - State Chair, Adult Education Committee; Director of Adult Education, Baldwin Park Unified School District

3. Lee Powers, California Council for Adult Education

4. Hilary Hsu, Chancellor/Superintendent, San Francisco Community College District

5. Rena Merritt Bancroft, President, San Francisco Community College Centers

6. Crisco Skidmore McCullough, San Francisco Community College Centers; President, Academic Senate

7. Edward Hernandez, Mt. San Antonio College, Walnut, CA

8. Gene Stevens, Allan Hancock College, Santa Maria

9. Dr. Harlan Barbanell, Principal, Evans Adult School, Los Angeles Unified School District

10. Thelma Prime, Student, Glendale College
    Raou Litvin, Student, Glendale College
    Marjorie Japngie, Student, Glendale College
    Virginia Nelson, Department Chair, Glendale College

11. Jerome Hunter, Rancho Santiago Community College

12. Alice Shaw, Lifelong Learning Institute, Santa Maria

13. Nick Kremer, California Association of Teachers of English to Speakers of Other Languages (CATESOL)

14. Douglas H. Holmes, South Gate Community Adult School, LAUSD

15. Carolyn Widener, Los Angeles City College

16. Evlynne Green, Joslyn Sr. Center, Mt. San Antonio Community College
    Martha Dilbeck, Mt. San Antonio Community College
    Josephine Antesta, Mt. San Antonio Community College

17. Lani Edie McGinn, California Community College Council on Community Service and Continuing Education

18. Robert W. Coleman, San Diego Community College

19. Florence Lee Smith, San Diego Community College District, College of Emeriti

20. Dr. Emmett Casey, San Diego Community College District, Disabled Student Program Services

21. Dr. Diane Glow, Assistant Director, Program Evaluation Project; California Community College Chancellor's Office; UCLA Center for the Study of Evaluation; San Diego Community College District

22. Shirle Nester, San Diego Adult Educators/AFT

Open Discussion - March 17, 1987

1. Diane Lisi, Long Beach Community College Part-time Faculty Association; ESL Teachers

2. Ilona Jo Katz, President, California Community College Trustees

Graduate Education Access - March 17, 1987

California State University:

Dr. Linda Powell Jones, State University Dean, Academic Programs and Policy Studies, CSU

Dr. Nancy Shellborne, Principal, San Diego Unified School District

Dr. Edward Bush, Director of Personnel, Long Beach City College

Association of Independent California Colleges and Universities:

Dr. John David Maguire, President, Claremont Graduate School

Dr. Sally Bakke, Director of Professional Development, Sanger Unified School District, Fresno

Dr. Victor Eddinburgh, Coordinator/Principal, San Bernardino County Community Schools

Dr. Linda Haro, Director, Instructional Media Services, Fresno County Schools

Dr. Lucretia Peebles, Assistant Principal, Lorber Jr. High School, Diamond Bar

Dr. Elizabeth Nash, Superintendent, Southern California Regional Occupational Center, West Los Angeles

University of California:

Dr. William R. Frazer, Vice President, University of California

Dr. Allen G. Marr, Dean, Graduate Studies and Research, UC Davis

Dr. Lewis Solomon, Dean, School of Education, UCLA

Dr. Richard E. Attiyeh, Graduate Dean, UC San Diego

California Community Colleges:

Dr. Richard Moore, President, Santa Monica Community College

The Tomas Rivera Center:

Dr. Raymond Garza, Scholar, The Tomas Rivera Center, Associate Dean, Graduate Division, UC Riverside

ATTACHMENT B

Option 2: Intersegmental Degree Programs Board

Recommend that there be created under the California Education Round Table (CERT) an "Intersegmental Degree Programs Board," which would coordinate all intersegmental degree programs.

The Intersegmental Degree Programs Board would be composed of appointees representing the University of California, the California State University, and the California Community Colleges, as well as representatives from the independent colleges and the State Superintendent of Public Instruction. The funding for the Intersegmental Degree Programs Board would be through the California State University budget, and staffing would be under the direction of the Intersegmental Degree Programs Board.

The Intersegmental Degree Programs Board would examine the issue of access to and need for intersegmental degree programs, as one of its tasks. Such intersegmental degree programs as the Intersegmental Degree Programs Board recommends would be subject to the normal review processes of the segments as well as those of the California Postsecondary Education Commission. The development of policies and procedures for such intersegmental degrees, a regular review of and reporting on such programs, and a process for airing differences would be the responsibility of the CERT.

The Intersegmental Degree Programs Board would be charged with the responsibility to find ways to use all of the state's postsecondary education resources in meeting determined needs and eliminating obstacles to a more expansive use of intersegmental degrees.

The effectiveness of the Intersegmental Degree Programs Board and intersegmental degrees in meeting students' access to and need for doctoral education would be subject to review in five years by the California Postsecondary Education Commission.

Note: Subject to review at the next Commission Meeting.

Commission for the Review of the Master Plan for Higher Education
Cathedral Hill Hotel
El Dorado Room
Los Angeles, California
April 21-22, 1987
Minutes

Commissioners Present:	William D. Campbell, Vice Chairman; Seth Brunner; Henry Der; Patsy Estrellas; Claudia Hampton; Harvey Hunt (4-21); David Jolly (4-22); Meredith Khachigian; George Kieffer (4-21); Felix LeMarinel; Peter McCuen (4-21); Edward Mosley; Michael Peevey; Ray Remy; Glenn Rothner; Harold Williams
Commissioners Absent:	J. Gary Shansby, Chairman
Staff:	Lee R. Kerschner, Executive Director; Jerome Evans; Julia Fahrenbruch; Ronald Saufley

Call to Order

The meeting of the Commission for the Review of the Master Plan for Higher Education was called to order by Acting Chair Claudia Hampton at 9:25 a.m. on Tuesday, April 21, 1987, in the El Dorado Room of the Cathedral Hill Hotel, San Francisco, California.

1. Approval of the Minutes

Staff reported that Attachment B of the March 18, 1987 Commission minutes would be corrected as follows: (Third paragraph, second and third sentence,) - "Such intersegmental degree programs as the Intersegmental Degree Programs Board recommends would be subject to the normal review processes of the segments as well as those of 'the California Postsecondary Education Commission. The development of' such policies and procedures..."

Action: It was moved, seconded, and carried that the Commission approve the minutes of the March 18, 1987 meeting as amended.

2. Chairman's Report

The Commission conducted a public hearing on Monday, April 20, 1987. The hearing was devoted to issues concerning the first draft of the Master Plan for Postsecondary Education. The list of speakers for the hearing is provided in Attachment A. Copies of written testimony provided by individual speakers have been distributed to all Commissioners.

3. Faculty Presentations

At its February 17-18, 1987 meeting, the Commission indicated an interest in hearing directly from faculty on issues of concern to them. It was agreed that those presentations would be scheduled as part of the April Commission agenda.

Presentations were received from:

California State University (Introduced by Dr. Bernard Goldstein, Chair of the California State University Statewide Academic Senate)

1. Dr. Raymond Geigle, Professor and Chair of the Academic Senate, California State University, Bakersfield, Vice Chair of the CSU Statewide Academic Senate.

2. VirginiaAnn G. Shadwick, President, California Faculty Association; Librarian, San Francisco State University.

California Community Colleges (Introduced by Dr. Mark Edelstein, Chair of the California Community Colleges Statewide Academic Senate)

1. Dr. Larry Toy, Professor of Astronomy, Chabot College, Hayward.

2. Henry Schott, Department Chair and Professor of Biological Sciences, Merritt College, Oakland.

University of California (Introduced by Dr. Neil J. Smelser, Chair, the University of California Academic Senate)

1. Dr. Maria Eugenia (Gini) Matute-Bianchi, Associate Professor of Education at Merrill College, University of California, Santa Cruz.

2. Dr. Michael E. Parrish, Professor and Chair, Department of History, University of California, San Diego.

Association of Independent California Colleges and Universities (Introduced by William Moore, President, AICCU)

1. Dr. David Axeen, Professor of American Studies, Occidental College.

2. Dr. Cedric Busette, Professor of Modern Languages, Santa Clara University.

A summary of each presentation is provided in Attachment B.

4. First Draft of the Master Plan for Postsecondary Education in California, 1987-2002

Dr. Kerschner reported that during the past several weeks he has met with the Student Advisory Committee, Faculty Advisory Committee, Intersegmental Staff Advisory Committee, and the Campus Presidents/Chancellors Advisory group to receive their advice and comments on the first draft of the Master Plan. He briefly reviewed some of the comments and revisions suggested by each of those groups.

Dr. Kerschner requested that the Commissioners focus their inital comments on the overall format and general concerns with respect to the first draft, and then turn to a discussion of the issues within each section of the draft.

Commissioners engaged in significant dicussions regarding the overall format and content, particularly with regard to the "Preamble." Individual concerns expressed included: 1) Need to identify the problems we are trying to solve and provide the outline for the solutions; 2) The language is too "vague" and "flowery"; 3) Important recommendations are hidden or lost - need to be much more direct; 4) Lacks an analysis of why we are here, where we are, and where we want to go; 5) Should we identify areas that are status quo or reaffirmation of the 1960 recommendations, what we are changing, and provide the justification - identify what has motivated us to push for reform; 6) Should this be presented as a "new" Master Plan or an "amendment" to the old? If it is to be a "new" plan, we must make sure that those aspects of the "old" plan that are still relevant or the Commission has not addressed are incorporated into this document; 7) There are numerous statements throughout the draft but no standards to guide those statements.

There was general consensus that staff would provide an oral summary of the basic direction the second draft would take, based on Commissioners' comments and concerns. The basic outline provided by Dr. Kerschner on Wednesday, April 22, follows:

I. Introduction (A stand alone document)

   A. Educational context (role in California society; importance of 1960 Master Plan; postsecondary education today; new time that doesn't fit old plan).

   B. Societal context, challenges (demographic; world economy; multicultural, shrinking world; specialization; new technologies).

   C. What is not working/missing (decline in quality; K-12 and postsecondary; equity; unity; efficiency).

   D. What are we going to do about it? (highlights of chapters; road map for following sections - repeat four themes of Unity, Quality, Equity, and Efficiency).

   E. State's responsibility for providing resources.

II. Sections I-IV (as revised by Commission)

III. Supplementary Detailed Recommendations (governance; studies)

IV. Appendices (cost implications; Commission composition and process)

There was Commission consensus to accept the general thrust of the outline provided by Dr. Kerschner.

The following paragraphs summarize individual Commissioner concerns raised during discussions of sections I through IV of the first draft.

I. Toward One Educational System

General Comments:

- Provide a strong, more detailed introduction of the areas in which the operations of one segment impact the operations of the others (e.g., how higher education influences public schools); point out that the "isolation of the segments was an unanticipated outcome and this is a new and clearer direction we want the State to embark on."
- In talking about one system, should not convey a message of "homogenizing" - "If this is to be a Master Plan, it is particularly important to confirm the uniqueness of the campuses within the segments and the uniqueness of the segments in relationship to each other, as well as the systemic dimensions the Commission is trying to encourage."
- Include a statement regarding the quality of the students as well as the quality of the institutions as part of the dimensions being described in the introductory paragraph.
- Need to be consistent in the use of terminology.

Systemwide Coordination:

- The California Education Round Table - 1) Clarify the intent regarding item 1, p. 4, and change "initiating" research to "encouraging"; i.e., designed to focus institutional research activities (public and private) for improving instruction in the public schools at the highest levels (not a new research agency); 2) Who will the Round Table be accountable to? Need for an annual progress report; 3) Need to point out the reasons why the Round Table should not be statutorily enacted; How are certain responsibilities assigned or concerns raised with a voluntary body?; 4) The phrase "specific responsibilities shall include...", tends to delimit the activities of the Round Table; 5) How would its activities be funded?
- Include discussion and recommendations pertaining to the California Postsecondary Education Commission; "Is the formulation of policy and program implementation an appropriate role for CPEC to play, or should it maintain its ability to stay at arms length?"

Segmental Missions:

- General comments - 1) Does this Commission believe, particularly in view of the increasing body of knowledge, that the State of California can continue to structure educational programs and coordination as it has in the past?; 2) Focus on the responsibility of the various segments to provide core curriculum and general education vis a vis upper division and graduate work; underscore the importance of both those functions as well as transfer and vocational instruction in the

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Community Colleges to provide continuity between core preparation and specialization; 3) Need to define what we mean by "basic" and "principal" functions; 4) Try to find a better term than "primary" in the mission statements; 5) Use the phrase "shall continue to" where appropriate; 6) The notion of "public service" should be addressed in the institutional missions, particularly in terms of the important contributions the colleges and universities can make to solving societal issues; 7) Should the mission statements assign responsibilities within the educational "system" or within each "segment"?

- Public School mission statement - 1) What is meant by "general vocational instruction"? 2) The phrase "...as the state is resolved to support" is too weak; what is the intent?

- Community College mission statement - 1) Clarify that this refers to "state-supported" noncredit instruction; the implication that some of that instruction may not be worthy of state support could also be true with respect to the University and the State University; 2) Clarify the reference to "general and academic preparation" in the secondary schools (last sentence of the Community College paragraph).

- California State University mission statement - 1) Rewrite first sentence to clarify that CSU has responsibility for undergraduate "and graduate" instruction in the liberal arts and sciences.

- University of California mission statement - 1) Include undergraduate instruction as part of the University's responsibility in the first sentence and change the phrase "professional training" to "professional education"; 2) Delete the last sentence (this is a quality issue and should be addressed in that context rather than in the mission statement); 3) Need to focus on the issue of whether undergraduate education is used to support the graduate and research functions of the University and, therefore, gets short changed; 4) Is it appropriate state policy to suggest that at the undergraduate level the University could be free to eliminate undergraduate instruction? What impact would that have on the 40/60 ratio?

- Page 6, paragraph beginning "All segments of education are responsible for insuring...", amend second sentence to read "All three public postsecondary segments may ~~be required~~ determine it necessary to provide..."

- Postsecomdary segments research responsibilities - 1) Regarding the University of California, make it explicitly clear that the University can conduct research in elementary and secondary instruction (should not appear to be an afterthought); 2) Regarding the California State University, need to explain why the State University should take the lead in research related to elementary and secondary instruction and for conducting research related to the use of the new technologies; clarify last sentence to emphasize that "all research should receive sufficient state support for conducting research appropriate to its mission"; and clarify whether the phrase "applied research at all levels of instruction" includes doctoral degrees.

Segmental Admissions:

- Should the State guarantee admission to postsecondary education as a whole or to particular segments?
- Should access to postsecondary instruction, at all levels, be a qualified or unqualified right for all students?
- Need to specifically identify the future implications and the ability of the state to respond on the basis of "entitlement" or "eligibility"; e.g., building of new campuses to accommodate undergraduate enrollment pressures; the impact on Community College transfer students; redirection of students; use of subjective factors and standardized test scores; assuring that the transfer function can work and that all institutions, public and private, are fully utilized; assuring that educational needs are met within the context and framework of budget realities; the role of Cal Grants; emphasizing the need to provide adequate resource allocations to assure educational quality in the Community Colleges.
- Should the 40/60 ratio of upper division to lower division be a goal or an absolute?
- Should institutional efforts to include underrepresented groups, particularly at the University of California, be designed to expand educational opportunities across the board as opposed to holding to a constant number?
- Are the Community Colleges a viable or merely theoretical alternative? Need to ientify how Community Colleges can function as full partners in the postsecondary education system.
- Need to strengthen statements regarding "special admits" and point out the failure to improve admission and retention thus far.

Segmental Governance

- Use the phrase "shall continue to be..." where appropriate.
- A detailed description of the Community College governance structure will be included in the section currently referred to as "implementation," and will include a clarification of what "broad policy making and management responsibility" would entail, for further Commission discussion.

In response to Commissioner Rothner's request for a clarification of the purpose of the paragraph concerning faculty senates and students, Acting Chair Campbell suggested that he discuss his specific concerns with staff.

Coordinating and Supporting Agencies:

- CPEC - Clarify, in the second to last sentence, whether CPEC's role is to "determine" the need for programs or to "recommend"; 2) Consider placing the description of CPEC and its responsibilities under Systemwide Coordination (p.4).

- Cabinet-Level Secretary - Subsequent to significant discussion the following action was taken:

Action: It was moved and seconded that the Commission approve the proposal to bring back a revised paragraph that refers to a Cabinet-Level Advisor (not a new position but elevating the current position). The motion failed to pass by a vote of 6 to 5, with 1 Commissioner abstaining, 1 Commissioner absent during the vote, and 3 Commissioners not in attendance.

II. Toward Greater Flexibility and Response to New Students and New Needs

- General Comments - 1) Make strong, specific statements concerning these issues rather than using generalities; 2) Identify the problems and concerns the Commission has addressed over the past several years and point out, for example, that no significant progress has been made since the 1960s in improving the access and retention rates of underrepresented groups.

- Equity - 1) the statement "students should know that attendance...is always possible," should identify the responsibilities and role of the students as well as the state; 2) The phrase "creative use of expanded special-action admission programs" is extremely vague; spell out or provide examples; 3) Segments must do something now to change the faculty mix in the next ten years (last paragraph concerning CPEC is not enough); 4) Need to define what educational equity means and its ramifications; 5) Emphasize the importance of developing leadership in our state; 6) Include information that indicates the issue is as important to society as it is to the underrepresented populations; 7) Need to recognize there are societal impediments as well, and in the area of public service, community service, and research there is room for activity between postsecondary segments to address some of those problems; 8) Strengthen tha last sentence concerning public service performance in return for financial aid and clarify that it refers to loans and not grants; 9) Point out that the resources and support networks necessary to encourage low income students to participate are not there; 10) Should also address "first generation" college students; 11) "... students who perform exceptionally well...", delete "exceptionally"; 12) Characterizing minority members as "nontraditional" faculty carries a negative connotation; 13) "... governing boards of all segments ultimately bear responsibility for success...", delete "ultimately"; 14) Point out that faculty share the responsibility for success in affirmative action because of their role in the appointment, reappointment, and tenure process; 15) Should talk about "performance driven incentives" (e.g., working with junior high schools).

Older, Part-Time and Other Nontraditional Students:

- Rewrite last sentence of first paragraph regarding "altering traditional practices" to make clear that the Community Colleges have already done so and this is not a criticism.

General Education:

- Move this section to the chapter on "Quality."

Commissioner Remy emphasized his concern that staff provide some preliminary "cost estimates" at the May Commission meeting. He expressed his belief that the Commission must decide whether it is "willing to see all these things done regardless of the cost or allocation of resources in order to move society along, and possibly end up not doing anything for anyone because the state cannot commit to the totality of the programs?"

III. Toward Enhancing Educational Quality

- Instruction - 1) "...governing boards shall be directly responsible...", point out concern that in the past the governing boards have spent more time on fiscal and management issues than on instruction; 2) "...to insure that proper balance is maintained...", point out the intent is to assure that employment of part-time faculty does not undermine the essential core of full-time faculty (should not have departments with the majority of faculty being part-time); 3) The term "cautious" in the employment of part-time faculty is very weak (e.g., the issue addressed in The Challenge of Change with respect to ladder steps and salary should be addressed here also); is the use of part-time faculty as great a problem in the CSU and the UC as it is in the Community Colleges?; 4) Need to identify the problems regarding the use of teaching assistants; 5) "...shall develop professional development policies...", should emphasize the need for adequate funding (does this belong under Teacher Education?); 6) "...new faculty shall serve prior to review for tenure.", amend to read "...new faculty shall serve prior to granting of tenure."; 7) Discussion of the role of faculty needs to be expanded, particularly regarding mandatory counseling and advising, opportunities for motivating faculty to teach particular courses, and discussion of student/faculty ratios and work load as they bear on the quality of instruction; 8) Should we at least leave open the possibility that "excellent teachers should be promoted and given tenure even if they haven't demonstrated their scholarly ability in the area of research and publication?"; 9) Need to identify, in all areas, what has motivated the Commission to take the positions it has taken - why is there a need for something more of a liberal arts education? How do individual student experiences fit into society? Why is the over use of part-time faculty a problem?; 10) The issue of "staff development" should be expanded and set out in a separate paragraph.

- The Undergraduate Curriculum - 1) Should include some discussion of what the Commission perceives the quality of undergraduate instruction to be; 2) The issue of "general education" might fit more appropriately in the undergraduate discussion.

- Graduate Education - 1) Last paragraph, last sentence regarding the provision of specific program information to students should be moved to the section currently called "implementation"; 2) Clarify whether this refers to "doctoral" programs only or all upper division programs.

- Teacher Education - 1) This refers to more than just the schools of education; consider using the term "teacher preparation"; 2) Clarify that the testing of teacher candidates would occur prior to entrance into the teaching field; 3) Clarify the intent of the "appraisal system"; instead of physicians and lawyers shoud consider talking about "joint internships" between public schools and postsecondary institutions, where a persons skills are evaluated in the classrooms after they have completed their education; 4) In addition to "consumer ratings" should discuss a system of "student ratings" (public report cards); several Commissioners questioned whether the issue of consumer ratings was a Master Plan issue; 5) Statement that the "...governing boards convey to their institutions..." is too vague; state what we mean; perhaps this is the place to use the word "primary" and place it with the CSU system?

- New Information Technologies - 1) Consider referencing the role of the CERT; 2) Need to emphasize why this is a Master Plan issue and why the CSU should take the lead in this area.

- Assessing the Overall Quality of the Educational Experience - 1) "...CEOs vigorously exert their influence on accrediting agencies ...", is this a Master Plan issue? Should it be incorporated into the section currently called "implementation"?; 2) The issue is important and the subject matter, at least, should be addressed in th body of the Master Plan.

IV. Toward More Efficient Use of Our Educational Resources

- Pricing Public Postsecondary Education - 1) Clarify that student charges should remain low and any increases in student costs should be uniform and should not be changed substantially within a single year; 2) The governing boards should not establish fees that will "prohibit" students from attending.

- Budgeting State Support - 1) Specifically state that the Legislature should get out of the business of being the school board for the Community Colleges; the Board of Governors must be more equal to and aligned with the University of California and the California State Unviersity; 2) References to Article XIIIB should be included here; 3) Amend the last paragraph to read "...shall regularly examine the formulaes used...".

Commissioner Remy expressed his belief that the Commission should state its concern and disappointment with respect to The Challenge of Change recommendations and the fact that the Legislature is not willing to "let go of the budget process to the Board of Governors." Following some discussion, there was general consensus that staff should prepare a letter to the Joint Committee, based on an analysis of AB 1725, that would thank them for their support in areas such as matriculation and noting those areas where the Commission has some concerns, such as the budget issue. It was noted, however, that revisions are still being made to AB 1725, which should be taken into account in any correspondence with the Joint Committee.

Commissioner Der indicated he would abstain from such action on the basis that, "putting in writing a specific subject matter relative to The Challenge of Change might diminish some of the other things we want to accomplish in the Community Colleges."

- Faculty Employment - 1) Delete the last sentence regarding CSU and UC experimenting with the use of rolling contracts as an alternative to tenure.

Acting Chair Campbell requested that staff revise the May Commission meeting schedule to begin Monday afternoon, May 18, following the public hearing.

The meeting was adjourned at 2:45 p.m., Wednesday, April 22, 1987.

May 20, 1987
Date

Lee R. Kerschner, Executive Director

ATTACHMENT A

SPEAKERS LIST
MASTER PLAN COMMISSION PUBLIC HEARING
April 20, 1987

1. John Rosenfeld, California Conference, American Association of University Professors
2. Alvin Ross, California Association of State-Approved Colleges and Universities
3. Phillip Nails, California Association of Private Postsecondary Schools
4. Hilary Hsu, Chancellor, San Francisco Community College District
5. Scott Rice, Professor of English, San Jose State University
6. Bernard Goldstein, Statewide Academic Senate, California State University

ATTACHMENT B

SUMMARY OF FACULTY PRESENTATIONS

April 1987

Dr. Raymond Geigle, Professor and Chair of the Academic Senate, California State University, Bakersfield.

The first Master Plan created the California State University and charged us with becoming distinctive in that we paid more attention than the other segments to the quality of instruction and to the outcomes of our student behaviors. Though we have a very eclatic faculty who have national reputations in research and other areas, in the main we have recruited faculty in the past 25 years whose primary interest has been on teaching.

At the CSU we have a division called Academic Program Improvement that, this year has given out money to do an assessment of the quality of our undergraduate programs. My department is participating in that process and we have contacted all of the majors who have graduated in political science from Cal State Bakersfield. I raise this to suggest that you have given us two charges. To provide the highest quality instruction we can to the people who are most capable and, also, to help those people who because of lack of life opportunity have reached our institution and are not able to compete on that level. We put an enormous amount of our resources and our energy into the latter.

Regarding the Commission's recommendations on instruction, we recommend four changes. First, we have a growing and acute problem in the CSU of an increasing student/faculty ratio. We would welcome a statement that suggests the CSU take action of an effective kind to halt the increase in the SFR and to roll it back. Second, we would like to see something that talks about flexible staffing formulaes within our departments. We recommend against a policy of differentiation of faculty in terms of the jobs or tasks that are assigned and, instead, in favor of a policy of flexible staffing. Third, we recommend a strong statement of this Commission in favor of not only state policy but state funding for faculty development. The primary objective and goal of faculty development is the main charge you have given to us for quality instruction. Finally, there is a great possiblity of extensive harm to the academy being done by something you have described as rolling contracts. We recommend that those be taken out of the final report.

In the main, the faculty of the CSU are devoted, before and above everything else, to quality teaching. Quality teaching means many things. What we do in the way of research is directly tied to what we do in the name of teaching. The quality of instruction on our campus is not a function solely of the reading that we can do there, or of the scholarhsip and the exchanges we can have with our colleagues there, but it is also a function of the interchange that we have in a second academy in which we all live. That means faculty development money. I would suggest to you that though it is good for the faculty person, the benefits for instruction in the CSU are very nearly incalculable.

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What we are attempting to do when we talk about restructuring work load and accomplishing flexibility is not to do less, but to do other kinds of things. The amount of time it takes to help students who themselves could not make it through the system is great. To think that we can do that and have an ever increasing faculty work load is a chimera. We end up having to sacrifice that call to that student who we know dropped out who could have been salvaged, because we're spending the next 3 to 4 days reading 60 to 70 papers.

Faculty tenure is a long, cherished, and old institution, for reasons that are only secondarily self-serving. The quality of instruction is directly related to the diversity of the kinds of information, the kinds of opportunities the faculty share. Without tenure that diversity would be substantially reduced. It would be a risk to the institutions to experiment with rolling contracts.

VirginiaAnn G. Shadwick, President, California Faculty Association; Librarian, CSU, San Francisco

The California Faculty Association (CFA) has a profound interest in the role of California's educational system. We recognize that the strength and quality of life in our state rise and fall as a whole, and that no one will profit in the long run from upgrading one segment of California's public education system at the expense of the others. In the real world of finite resources, cycles of economic change and politically imposed limits on public spending, it is incumbent on all of us to set priorities.

CSU must continue to be a vital force in the economic and social advancement of our state. It is the largest provider of baccalaureate and Master's level education in California. To the extent that the future of California depends on the quality of undergraduate education and that the Master's degree and other post-baccalaureate study are essential to life-long learning and the upgrading of numerous career skills, the State of California cannot afford to allow the CSU to be anything other than the best funded university of its size in the nation.

We share the Commission's concern for educational equity, student success, accountability and assessment, quality in the educational enterprise, and we sincerely want college degrees granted by the CSU to have meaning. If, despite our best efforts, our univeristy has fallen short in any of these areas -- and we must in all candor admit that to some extent it has -- we support a reaffirmation of those goals, and our 7,000 members are prepared to join the Commission, the Legislature and the CSU Board of Trustees in rededicating our energies and refocusing our attention to those fundamental objectives.

We believe the CSU can serve a broader set of goals than are called for in the current Master Plan, particularly in light of profound changes in California's demography and equally profound changes in American society and the global economy.

1. The CSU is first and foremost a teaching university. We urge the Commission to reaffirm undergraduate and masters level gradute instruction as the primary function of the CSU. We believe that appropriate research, public service and doctoral level graduate instruction must be given recognition and support in the CSU in preparation for the next century, but must be made compatible with our fundamental undergraduate and masters level teaching mission and cannot be permitted to undermine those fundamental functions in our system. The CSU, in contrast to the UC, should be the system in which faculty desire to and are expected to work closely with students and not treat student contact as a secondary activity. Direct student access to faculty, including direct instruction and grading by faculty should be hallmarks of the CSU, sources of pride and distinction.

2. The mission of the CSU should be expanded beyond instruction in two fundamental ways: (1) In true appreciation of the reality that quality instruction is directly related to good scholarship, recognition of the existing high quality of research being done by CSU faculty should be to the extent that such research is appropriately funded; and (2) overt public service should be included as a clear responsibility of the university. The state's exclusive reliance on the UC system for research is no longer adequate to meet the economic, social and scientific challenges of the state. Honest recognition of the true value of research done in the CSU can only be achieved by adjusting the instructional workload of CSU faculty, if quality in the CSU is to be a real commitment.

3. The prohibition against free standing doctorates in the CSU should be lifted. While doctorates should only be established where the need is clearly established and resources are clearly provided, the CSU should not be hamstrung and prevented from offering doctorates on the basis of an arbitrary general rule. No expansion of CSU programs into the doctoral level should be made unless sufficient additional resources are provided.

4. The CSU should be given a strong mandate and appropriate resources to explore strategies that include discussion of the process of instruction and the creation of more effective academic incentives for democratic involvement and civic service.

5. Educational equity, preparation of university gradutes to live in a truly pluralistic society and international environment, should be added as overt goals of all public higher education. It is apparent that this effort should begin by including a clear nondiscrimination clause in all negotiated employer/employee agreements. The CSU should be given a strengthened mandate to maintain and expand access to minorities and other underrepresented groups. The Commission's theme of "Access and Success", used for the community colleges, should embrace the CSU as well.

6. The CSU mission should acknowledge the role of lifelong learning. Rapidly changing technologies, changes in the very character of work and society will make bachelors degrees obsolete or inadequate at an increasing rate. Increasing life expectancy and awareness of life "passages" should end the bias against nonmatriculating students and personal fulfillment study, provided that univeristy classes for credit are on a level appropriate to university level standards.

7. Salary setting methods applied to CSU faculty, while of great concern and relevance to the public, should remain in the province of collective bargaining. We already have an agreement with the CSU to work together with the California Postsecondary Education Commission in developing the salary recommendations for the CSU. Our union endorses the concept of incentives to attract and retain the best possible faculty.

8. The principles of shared governance should be forcefully reaffirmed. In addition to reaffirming the status and role of the Academic Senate, the administration should be urged to mature regarding its attitude on collective bargaining and labor relations. Higher education should be a model of participatory governance and mature labor relations.

The current Master Plan assigns distinct functions to each segment, but calls upon each segment to "strive for excellence in its sphere." An amended Master Plan must adjust the functions of each segment, but should maintain the commitment to excellence in each segment's sphere. The corollary, of course, is that the state must amend its funding policies as well to support excellence in all three segments.

Dr. Larry Toy, Professor, Chabot College, Hayward

The assumptions about community colleges have been fundamentally altered during the past ten years. It has become a schizophrenic entity, split between local needs and state financing, between a local commitment to provide the highest quality education to all who can profit from it and an unwillingness to fund a locally determined priority at the state level. This results in accountability satisfactory to no one. Because the commitment to the community college was essentially local, born of its intial creation and establishment, the current financing by the state lacks this commitment. Financing has been accomplished in an ad hoc manner, resulting in California Community Colleges spending less per full-time student than any large industrial state, fully 30 percent or almost $1000 per student less than the average of these states.

For the CC's, your concept of one educational system, coordinated by the California Round Table is a farsighted one, and would be further strengthened by the inclusion of the three statewide academic senates sharing the coordination responsibilities. You might be interested to learn that the genesis of the Round Table was the Intersegmental Senate.

For full-time faculty, the issue of part-timers has long been a hidden one. We, in general, have had little contact with most of them, even those teaching in the same field. We did not and still do not generally participate in their hiring or evaluation. Since they did not participate and were not compensated for committee meetings, text selection, curriculum decisions, or even office hours, they were invisible to all but our students. However, with the financial squeeze on CC's, we now have part-time faculty appearing more and more frequently in the day time. The use of such faculty accounts for about 1/3 of the total hours taught in CC's, so that a typical CC student will be taught by a part-time instructor for 7 of the 20 courses taken during his or her CC years.

The expanded duties of a part-time faculty member should include both advisement and curriculum development as the Master Plan now states, but should also include pro rata office hours, and additional compensation which will require increased state support. I believe that faculty across the state would not object to "flexibility" if it meant the ability to hire high quality professionals who are employed full-time elsewhere and teach in specialized programs, or the ability to schedule classes in remote locations or at odd hours to maximize the possible offerings to students, or to be able to adjust for planned or unanticipated fluctuations in enrollment in specific programs. But we most ardently object when "flexibility" means hiring faculty at one-third the normal wage to replace full-time faculty in order to offer more courses at lower cost. The state recognizes this reality of quality over quantity when they fund both continuing and new positions at CSU and UC on a full-time equivalent basis. We urge the Commission to support similar treatment of our part-time faculty.

Finally, rolling contracts may well be a positive solution to many of the problems I have voiced. It also does require additional funds for such contracts if they are indeed on some pro rata basis. My major oncern in this area is that the rolling contract may become a mechanism to extend the tenure time from the proposed four years to four plus the length of the rolling contract, so that tenure becomes de facto a 6 to 9 year process.

I support the Commission's stance on affirming the 40/60 lower to upper division ratio for the universities, and suggest making the 40 percent a maximum. There is inherent conflict between maintaining this ratio and guaranteeing access for qualified students. I suggest that the use of deferred admission (spending the first two years at a local community college with a guarantee of transfer as a junior) may solve this dilemma. The guarantee of the state will then be for the pursuit of a UC or CSU bachelor's degree, not a guarantee for four years at that institution.

For CC's the issue of transfer and the reeastablishment of the 40/60 ratio has two aspects. First, it will allow us to maintain and enlarge the number of CC students most likely to transfer (increasing the number of students from the top 12.5 and 33 percent of the high school graduates). This is necessary to maintain viability and vitality of transfer courses at the CC's both from the intellectual contribution of these students and their increased numbers. This is especially important for some of the general education and sophomore level courses when increasing numbers of smaller classes are cancelled for financial reasons. Second, we need to assure that there are spaces at UC and CSU for our transferring students, both overall and in impacted majors. I would recommend that a public policy be established to guarantee a reasonable number of spaces for transfers particularly for impacted majors at both UC and CSU campuses.

This is truly an issue of equity, since CC's educate essentially all the lower two-thirds of the college-bound graduating high school students, many of the poor in the upper third, and almost all of the underrepresented minority students. If transfer is not supported, particularly in terms of guaranteed places then a four year education will be denied to many of these students. In addition, establishment of a uniform general education transfer core, or at least a uniform core curriculum specific to each transfer major, is essential to a single system of higher education in California.

The Commission's recognition of the CSU as primarily responsible for the upper division education of the older, part-time student creates a dilemma for the CC's. While we are criticized for our low transfer rates to the UC system, our stdents who are almost all older, part-time working students are not accepted on that same basis at UC. Until this happens, the vast majority of our students who are qualified will not be willing or able to transfer to the UC. These students work because they must. They are often the working poor, self supporting, and of both ethnic and economic minorities. Until a recognition by the UC of their needs in terms of part-time status and necessarily longer time to completion of degree, then these students will be deprived of the opportunities and resources of the UC, and the University and the State will be deprived of the talent and energies of these students.

Henry Schott, Department Chair and Professor, Biological Sciences, Merritt College, Oakland

Staff Development: The quality of instruction is maintained over the long run by renewal of course content and by faculty self-examination. Self-examination is a multifaceted task that applies not only to individual faculty but also to departments, divisions, and institutions. If faculty are to be effective mentors, motivators, and role models, then it follows that staff development opportunities must be an integral part of the process for promoting quality in education. This need for renewal is clearly recognized at UC and CSU where sabbatical funds are built into their FTE funding formula. Such an enlightened policy should also be applied to community colleges, many of which are unable to fund sabbatical studies.

We need opportunities in staff development that permit faculty to address problems such as: linguistic diversity among immigrants; cultural pluralism of the student body; organizational effectiveness of the institution; the application of technology to education; intercultural and interpersonal communication skills; faculty advisement techniques; techniques to motivate slow learners; mentoring programs; plus dozens of other issues affecting our multicultural, multiethnic, multiskilled, multiaged, and multimotivated students. I therefore recommend to you that the issue of staff development at community colleges be integrated into the family of objectives which are supported financially and are directed by the Board of Governors. It should not be left to become a step-child of local governing boards.

Accountability: The first step toward greater accountability is the adoption of a formal peer review process for employment and for granting tenure. The eight semester teaching experience prior to granting tenure seems to be a reasonable length of service in which to develop and evaluate teaching skills in new teachers. The process of peer review should continue throughout an individual's career and should be applied to teachers and adminstrators. The current two year interval for teachers has not proven effective because it does not lend itself to the detailed study and review that it deserves. By reducing the frequency to once in five years and increasing the scope of the self-study and the formal peer review, more attention and care can be brought into this essential task. A two year peer review could be retained for dealing with noted deficiencies.

Consideration should be given to providing greater mobility to those teachers who have earned tenure in one California district and who may want to move to another district. Teachers now must give up tenure and generally take salary cuts. Some reasonable provisions, such as a one or two year reevaluation period for experienced faculty prior to being granted tenure in a second district, should be developed.

We can and should do much better in assessing and then placing students into courses with defined minimum skill levels. Such services, clearly desirable from the viewpoint of the teacher, must be tuned to the special linguistic and cultural needs of our students if they are to be perceived by them as bridges to success rather than as barriers to education and affronts to their self-esteem. Adequate funding in this area and for related research is an essential component in developing accountability.

One type of study that may provide valuable data is a longitudinal study of a representative sample of junior-year high school students to determine, among other factors, what changes take place over the following eight years in the achievement level in basic skills as the students progress into postsecondary education or into the job market. Such a study could give us the base-line measurement against which future progress could be gauged.

If, in the assessment process, a need for remediation is identified, effective quality programs of remediation must be made available to students that will place them not at the minimum level but at the median or above. Only at this level can we have confidence that they will succeed in a rigorous college level course. To bring students to this level of performance will require personal attention and dedication to individual instruction. Small classes, the use of appropriate technology, and the employment of specialists can promote the rapid advance of students who have ability but lack skills and basic knowledge. To incur failure at this juncture in their lives is to assure greater social costs later. Not only the end result, but also the progress that a student makes in these programs should be taken into consideration in determining the overall effectiveness of the educational process. It is important, therefore, that realistic value-added cost accounting and categorical financial support for these special programs be available.

All your efforts at recommending policy will mean nothing if we are unable to significantly increase the resources to modernize and revitalize the community colleges. If this state wants to operate community colleges as bargain-basement educational shops it will have to bear that burden and take responsibility for the shoddy goods. My twenty-three years in community college education tell me that Californians want to be proud of their community colleges and will provde the support when that need is made clear and is evident in your final report.

Dr. Maria Eugenia Matute-Bianchi, Associate Professor, University of California, Santa Cruz.

I want to share with you something about the nature of my work as a scholar at the University of California, and how that relates to a concern for the education of students, K-12. I was promoted to a tenure-track position at UC Santa Cruz, and charged with developing a research paper that included work with public schools. Since I have been on the campus, 2/5 of my teaching load, each year, is devoted to working directly with teachers in classrooms.

As the result of my work as a scholar at the UC, I have been able to develop a research base that includes on-going relations as an ancillary benefit of my work with the schools. Some of the products of my work include a paper I was asked to prepare for a volume, "Excellence for Whom?" prepared by the Achievement Council (a privately funded, broad-based organization that is concerned with improving the quality of education for K-12 students in the State of California, and founded in large measure by the efforts of UC Regent Wilma Martinez). My paper focused on what can be done to improve the education for middle range students, junior high and high school, so that they could be admissible into the State Colleges and the UC system. Other UC faculty were similarly charged with developing position papers for this volume.

Another volume, "Beyond Language: Social and Cultural Factors in Schooling Language Minority Students" was prepared by the Office of Bilingual Education in the State Department of Education in Sacramento. Of the eight chapters that are all concerned with what is going on in K-12 in the education of language minority youth, virtually all contributors are UC faculty members, with the exception of one member from the Stanford campus. This document, which is used extensively in teacher training programs across the state and also throughout the southwest, is a testimony to the kind of involvement that many UC faculty have in working collaboratively with public school people, not only in the classroom but with policy makers in Sacramento.

Other activities being conducted in the UC include a systemwide Ethnically Linguistic Minority Committee (each campus has one representative), charged by the President's Office with working with public schools in terms of collaborative services and research relationships. The committee also reviews research proposals to fund research that goes into the public schools and only funds those research projects that clearly establish collaborative, on-going relationships with teachers in the public schools. (Also distributed information on a Mini-Conference sponsored by the Office for Research on Educational Equity - Educational Anthropology: Current Research and Its Implications for Instruction - to be held May 16, 1987.)

Everybody in the state is asking why Asian students are seemingly more successful in school than other ethnic groups in the state. So my own research currently is concerned with answering that kind of variability, not only within a particular ethnic group but across ethnic groups. I plan to continue this kind of orientation in my research and I am encouraged by the kind of support given by UC, not only in terms of the reward they have given me when I was recently promoted to tenure and have become the first woman of Mexican descent at the UC Santa Cruz campus to get tenure, but I think largely that promotion was based on the kind of work that I do in the public schools, not only in terms of my research, but also on the basis of the on-going service relationship that I have been able to establish over the sixteen year period that I have been in the UC system.

While I may not be typical of a UC faculty member in the UC system, I am certainly not unusual. The documents I have shared with you indicate that there are many faculty in the UC who are very concerned and are engaged, not only in terms of service but in terms of their research, and wrestling with the very difficult challenge we face - how can we promote equity and how can we promote educational experience in a population that is growing and has been underserved up to this point.

Dr. Michael Parrish, Professor, University of California, San Diego.

I have been a member of the faculty at UC San Diego for 19 years and a Department Chair for the past three years. On the basis of my experience in the UC, I would like to say a few things about the relationship between research and teaching from the perspective of an historian who teaches every other day or so at the UC; something about the relationship between what we do as scholars and how, then, we teach our studens, both undergraduate and graduate students in the UC system.

In my department at San Diego there are about 28 full-time history faculty. We teach approximately 1500 undergradute students each quarter and maybe 60 graduate students. The vast majority of the undergraduates we teach are now, in fact, freshmen in terms of the numbers and, so, I don't think our campus or our department is in any danger of becoming overly preoccupied with the instruction of graduate students. Most of our teaching is concerned with undergraduates (80-90%). We take great pride in the fact that we try to be both excellent teachers of undergraduate and graduate students and also take pride in our research and our scholarship, because we believe in many ways that we teach through our writing; that we reach many more students each year through the books, the articles that we write, often times, then we reach in our classrooms from quarter to quarter.

My colleagues in the last five years in the history department have been recognized by the undergraduates at UC San Diego and by the graduate seniors in the various campuses there. Three of my colleagues in the last five years have won the Outstanding Undergraduate Teaching award by graduate seniors in the various colleges. Two of my colleagues in the last five years have won the Chancellor's Associate award as the most outstanding instructors for the entire UC San Diego. At the same time, we take great pride that we have a number of colleagues who have achieved considerable emminence in their research and their scholarship. One has won the National Book award for a work in history. I believe we are somewhat typical of the ability to blend teaching and research in the UC and how they really complement one another.

Regarding the relationship between scholarship and/or publication and teaching, the time an undergraduate spends listening to a lecture may be three to four hours a week. The rest of their time is spent reading. What do they read? They read books and articles that are produced by historians like many of my colleagues. In fact, a lot of the most effective teaching that we do as faculty is teaching that we do through the books and the articles that we write and the way in which those become incorporated into the curriuclum, not only here but at other universities and colleges throughout the United States.

I think there is a very close relationship between what we write, between our research, between our scholarship, and our teaching in the UC system and I hope the Master Plan pays respect to that, both within the UC system as well as within the State Colleges and elsewhere.

Dr. David Axeen, Professor, Occidental College.

One of my first impressions of California was what seemed to me its unusually enlightened attitude toward higher education and, in particular, the clear community of interest that my faculty and administrative colleagues had with their opposite members in the public system. Today, there is a different context and different possibilities. Our underfunded and overpopulated public school classrooms are rightly matters of public indignation. Further, and this is an important factor, the issues which I see motivating student political activism today support views which are widely shared in the country. We're seeing more concern at all levels for the health of our educational system, for the preparation of students who enter that system, and all of this takes place in a context where the social and political views of these students didn't divide their elders as they did when Arthur Coons was first seeing trouble on the horizon in 1968. It seems, then, that this is a setting in which significant progress is possible.

Pomona and Occidental are among 28 small liberal arts colleges in the country who are getting together to try to formulate some responses to what is described as stagnating minority enrollments among Blacks and Latinos. Our college is working on a task force of this group which is trying to identify ways to support promising minority students by intervention at the junior high school level. Almost 2/3 of our students do finish in four years. In sampling our data for several years, Asian, Black, and Latino students at Occidental are, if anything, more likely to graduate in four years than majority students. This record of graduate success points to the area in which residential liberal arts colleges are strongest in the kind of individual attention which our priorities allow us to give to students and, obviously, the kinds of funding and endowments we have which make this possible. Nonetheless, we also know that increasing our enrollment of Black, Latino, and Asian students is going to put demands on our educational resources. Occidental, through funding raised by the Board of Trustees, is starting a summer bridge program to introduce a pilot group of 40 students to one of the required courses in our core program; these will be students who will be entering in the fall, regularly accepted students. We will have a student/faculty ratio of 8 to 1. They will receive particular support in writing and critical-thinking skills and, if they need it, will be given beginning computer instruction and, if they don't, will be given the opportunity to go beyond that. We also have two full-time faculty positions assigned to a learning resources center, which is further supported by a dozen student tutors who have been given special training by faculty to help students in introductory courses in mathematics, writing, economics, and sciences. We have a similar group of student tutors who are available to work with students on computer programs.

I am also a member of a task force that has two main goals. A commitment to quality and a commitment to diversity. The first led us to review our curriculum to consider carefully how well our residential program is serving in that curriculum. Our concern for quality is also directed at the quality of our entering students; for the preparation our students bring to college. In the past three years we have edged our minority enrollments over the 20 percent mark. We are experiencing the greatest growth among Asian students for whom English is a second language and, at the same time, are having the greatest difficulty with a deeply troubling nationwide pattern which finds fewer Black students entering higher education at any level.

Occidental is not offering admission to as many California high school graduates as we always thought we would. Two reasons have been suggested for this trend. The admissions office argues that it is the declining quality of preparation that California high school graduates present. The financial aid office argues that it is the cost squeeze by which the combination of Cal Grant eligibility ceilings and benefit limits lead more students each year to opt for public institutions and not even to make applications in the independent sector.

When Arthur Coons saw that his scheme might be failing in implementation and was recording his last thought about the Master Plan in 1968, Occidental was spending around nine percent of its total budget on financial aid. Next year that figure is over twenty percent and is a total expenditure of 5-1/2 million dollars. Our financial aid costs now exceed our faculty salary budget. It is not that we don't have financial aid available to middle- and low-income students, whether their from California or not, it's just simply that the mix of aid, of summer earnings, of campus jobs, and loans have really become too much for many families to face. As the contribution of state-funded financial aid to independent institutions continues to fall, the effect is going to be increased enrollment pressure in already crowded public institutions. A small measure of what we think is an unintential policy is that, admittedly, small institutions like Occidental will be less a part of California higher education.

Finally, I think as members of the review Commission you are in a good historical position to put California higher education back on the road to progress, which Arthur Coons and the original master planners began to outline almost 30 years ago. I think you have a daunting public consciousness on your side and obviously clear evidence of the task ahead. What hasn't changed since the original Master Plan is the overriding need for quality and the expense that quality entails. What was unforeseen then, I think, is the challenging diversity of the population which we now serve.

Dr. Cedric Busette, Professor, Santa Clara University.

I lived in California from 1960-68 and moved back east. It occurred to me that I had three children to educate and I came back to California because this was still the best place with the most comprehensive higher education plan and policy. In spite of the changes that have taken place in California, that is still the case and the draft of the Master Plan indicates that California will remain in the forefront of cohesive, systematic planning for higher education.

Santa Clara is a small liberal arts university. However, we have 3500 undergraduate and about the same number of graduate students. We have a law school, doctoral programs in engineering, and professional programs for teachers and school personnel in counseling, psychology, and education. We have an MBA program in business. But, essentially we see ourselves as a liberal arts undergraduate institution.

As in many segments of the public sectors, we also see our mission as fine, quality instruction. To get tenure at Santa Clara you have to be an outstanding teacher; that is one of the criteria. And you also have to be a competent researcher. We combine some of the facets of the UC system and the CSU system also. We get most of our students as freshmen, but also have articulation programs in the Community Colleges in our area. Over the years, Santa Clara has made a tremendous impact in the Santa Clara Valley and continues to do so through its many and varied programs. As an example of how Santa Clara tries to bring cohesiveness to its curriculum, we have every year, an institute on a particular topic of great importance to our nation and our community. For instance, several years ago we had an institute on "War and Conscience"; invited speakers and experts of diverse persuasions nationally and internationally to come and speak on the campus and also organize courses in many departments related to the topic so that the student looks at an issue thematically across disciplines.

We also had an institute on "The Family" the following year, again with experts from across the country, classes organized around the topic. Also one on "World Poverty," one on "Technology," and currently one on the "Constitution." We are organizing one on our "Southern Neighbors," so that students see the connections among the various disciplines that their studying.

The 60 or so institutions that make up AICCU are very diverse. Santa Clara, like other private institutions, is also trying to diversify, much more so than it has done before, its student body. In the last plan given to our Board of Trustees, one of the planks of that plan is to diversify ethnically and socio-economically the student body. However, to be able to do that Santa Clara, like other members of the AICCU, will need a great deal more support. Support from the state through independent grants to students who attend our university.

The AICCU institutions have made a tremdendous contribution to California. We can be looked at as 20 to 25 percent of the pie, depending on how you look at it. In order to continue serving the young people of California and the state in the ways we have been serving them, it is absolutely necessary that this body consider increasing financial aid through the Cal Grant to a level way beyond where it is now. It is imperative that this group increase support to students in the independent colleges and universities.

Note: **Subject to Review at next Commission Meeting**

Commission for the Review of the Master Plan for Higher Education
Sheraton Plaza La Reina
Plaza II Ballroom
Los Angeles, California
May 18-20, 1987
Minutes

Commissioners Present:	**J. Gary Shansby, Chairman; William D. Campbell, Vice Chairman; Seth Brunner; Henry Der; Patsy Estrellas (19/20); Claudia Hampton; Harvey Hunt; Meredith Khachigian; George Kieffer (18/19); Felix LeMarinel (18/19); Peter McCuen; Edward Mosley; Michael Peevey (20); Ray Remy (19/20); Glenn Rothner; Harold Williams (18/19)**
Staff:	Lee R. Kerschner, Executive Director; Jerome Evans; Julia Fahrenbruch; Ronald Saufley

Call to Order

The meeting of the Commission for the Review of the Master Plan for Higher Education was called to order by Chairman Shansby at 1:40 p.m. on Monday, May 18, 1987, in the Plaza II Ballroom of the Sheraton Plaza La Reina, Los Angeles, California.

1. Approval of the Minutes

Action: It was moved, seconded, and carried that the Commission approve the minutes of the April 21-22, 1987 meeting as distributed.

2. Chairman's Report

Chairman Shansby reported that Governor Deukmejian, in his May 16 California Report, announced his proposal that higher priority be given to the Community Colleges by doubling the increase for their budget to 7.6% to enable them to implement the reforms proposed by the Master Plan Commission. On behalf of the Commission, Chairman Shansby expressed his extreme pleasure and appreciation for the Governor's support.

On behalf of the Commission, Chairman Shansby congratulated Commissioner Campbell on his recent appointment to the Board of Trustees of the California State University.

Chairman Shansby reported that it may be necessary, pending the outcome of the May and June Commission meetings, to plan a one day meeting in July for final review and adoption of the Commission's report. Following discussion, there was general consensus that, if necessary, such meeting would be held on Wednesday, July 22, 1987 in Sacramento.

The Commission conducted a public hearing on Monday, May 18, 1987. The hearing was devoted to issues concerning the second draft of the Master Plan for Postsecondary Education. The list of speakers is provided in Attachment A. Copies of written testimony provided by individual speakers have been distributed to all Commissioners.

During its review of the second draft on Tuesday, May 19, the Commission discussed the need to expand its June regular Commission meeting to three days rather than two plus a public hearing. Subsequent to that discussion the following action was taken.

Action: It was moved, seconded, and carried that the June 15-17, 1987 Commission meeting schedule be conducted as follows: Monday, June 15, convene regular Commission meeting at 9:00 a.m.; a public hearing will be scheduled for Monday afternoon beginning at 1:30 and adjourning no later than 3:30 p.m.; the regular Commission meeting will be reconvened upon completion of the testimony but no later than 3:30 p.m. - Tuesday, June 16, reconvene regular Commission meeting (approximately 9:00-5:00) - Wednesday, June 17, reconvene regular Commission meeting (approximately 9:00 until completion of agenda). Staff will determine the procedure for sign-up at the public hearing for publication in the June agenda.

3. Segmental Executives Presentations (Monday, May 18, 1987)

The Commission received presentations and comments on the second draft of the Master Plan for Postsecondary Education from:

° Dr. Joshua Smith, Chancellor, The California Community Colleges

° Dr. W. Ann Reynolds, Chancellor, The California State University

° Dr. David P. Gardner, President, The University of California

° Dr. David K. Winter, Chairman, The Association of Independent California Colleges and Universities

The segmental executives responded to Commissioner questions upon completion of the presentations. The text of each presentation is provided in Attachment B.

4. CPEC Director's Presentation (Tuesday, May 19, 1987)

Dr. William Pickens, Director, California Postsecondary Education Commission, presented his views and comments on the second draft of the Master Plan for Commission consideration and responded to questions upon completion of his comments. The text of his presentation is included in Attachment B.

5. Second Draft of the Master Plan for Postsecondary Education, 1987-2002

At its April 21-22, 1987 meeting, the Commission reviewed the first draft of the Master Plan. Following extensive debate and discussion, staff was directed to prepare a substantially revised document for further discussion in May. A revised, draft introduction was distributed along with some preliminary cost estimates as a handout at the Commission meeting on Monday, May 18 (extra copies were available at the meeting).

Dr. Kerschner reviewed some of the revisions suggested by the Student Advisory Committee, Intersegmental Staff Advisory Committee, and the campus Presidents/Chancellors Advisory group. He noted that staff will incorporate some of the suggested revisions in the third draft as appropriate.

The Commission then discussed the overall format. A number of Commissioners expressed concern that by trying to create a comprehensive new plan the identification of the problems and solutions the Commission has addressed over the past year are lost or hidden. There was general consensus to return to the format and numbering system used in Challenge of Change. Specific suggestions from Commissioners included: 1) The report should address the areas where the Commission is proposing change (explicit or implicit) and identify the problems it is trying to solve; 2) Remove those areas in the second draft that simply confirm or restate what is in the existing Master Plan; 3) Provide motivational discussion and rationale as to why the Commission is making those recommendations; 4) Important to understand the context within which the Master Plan was developed, but the report itself should be simple and straightforward (short, punchy, and in laymans terms).

As an example, Dr. Kerschner stated the report would include a statement that the basic differentiation of functions among the institutions as presented in 1960 is reaffirmed as it has evolved over the years. The following language is offered to further refine or bring it up to date... The reaffirmation, in most cases, can be brief. Issues that would require more elaboration include the 40/60 ratio and entitlement versus eligibility. Specific statements or recommendations will be preceded by explanatory language for that recommendation or group of recommendations.

The following paragraphs summarize Commissioner comments and suggested revisions during discussion of Chapters I through IV, the Addendum, the Prologue, and the Preliminary Cost Estimates. Staff noted that these sections would be substantially revised to fit the format agreed to above. Therefore, Commissioner discussions focused primarily on specific statements of policy rather than general format and text.

I. Toward One Educational System

General comments: Need stronger statements and text to support the concept of one educational system.

Systemwide Coordination

- General consensus to 1) Add a 7th point regarding "equity" to the list of CERT responsibilities; 2) With the exception of the statement on coordination of long range planning, the paragraph describing CPEC's responsibilities will be deleted; 3) The paragraph concerning the Student Aid Commission will be rewritten to clarify that the Commission would not be involved in administering programs on campus; 4) A statement regarding the Intersegmental Coordinating Council will be included (here or in the addendum), specifically noting that the ICC membership includes student and faculty representation.

Segmental Missions

- General consensus to 1) Amend mission statements to use the phrase "shall provide" and delete references to "lead" responsibilities. It was agreed that the mission statements could be repeated in the report, but Commissioner Williams emphasized his concern that it would be appropriate to indicate there are no substantive changes as far as UC and CSU are concerned; 2) Amend Community College mission statement, last sentence, to read "The Community Colleges shall have principal but not exclusive responsibility for vocational instruction; the secondary schools provide general and academic preparation for future participation in the labor market" (the text preceding the recommendation will include the rationale); 3) The statement for public and private elementary and secondary schools as well as the statements for accredited private institutions will be preceded by appropriate argumentation and rationale; 4) Delete the term "applied and basic" research wherever is appears (refer only to "research").

- Postsecondary segments research responsibilities - General consensus to 1) Delete the phrase "except as otherwise designated" from the UC statement; 2) Amend CSU statement to indicate that "The state shall support research, scholarship, creative and professional activities at the California State University in support of its undergraduate and graduate mission. It shall have responsibility among the public institutions for research in elementary and secondary instruction and for conducting research related to the instructional use of the new information technologies."; include a footnote that the UC shall continue its responsibility in this area along with its other research responsibilities; 3) Clarify that the reason for CSU's responsibility in K-12 research is because it is tied to the mission of the institution and is not designed to create a research university; 4) It was agreed that staff would work on the "state agenda" concept for K-12 research and incorporate it into item #1 of the CERT responsibilities.

Commissioner Hunt suggested that the authorized and approved schools be added to the inventory under segmental missions. Dr. Kerschner emphasized that this does not represent an inventory of educational institutions that exist in the state, but establishes basic mission statements or standards for those institutions, public and private, which the Commission believes the state should appropriately rely on to meet the educational needs of its citizens. Commissioner Williams also noted that the Commission has endorsed the accreditation concept in the chapter on quality and indicated its belief that licensing is not enough. Following a brief discussion, there was Commission consensus not to add the authorized and approved schools to the institutional listing under segmental missions.

Commissioner Der noted his continued, strong objection to the caveats regarding state-supported noncredit instruction and "continuing to treat adult education as a stepchild; it has to be considered as part of the postsecondary enterprise."

Segmental Admissions

Commissioners engaged in significant discussion and debate concerning the issues of entitlement versus eligibility and the 40/60 ratio of lower division to upper division. Subsequent to that discussion the following action was taken.

Action: It was moved and seconded that the Commission support "entitlement to the postsecondary education system" with "eligibility to the institution of choice" (CSU shall select first-time freshmen from the top 1/3 and UC shall select first-time freshmen from the top 1/8 of all California high school graduates); in addition, CSU and UC shall administer their admission policies

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for first-time freshmen and transfer students to hold lower division enrollment to no more than 40% of total undergraduate enrollment. The motion passed by a vote of 10 to 5, with 1 Commissioner absent. (The third draft will include the appropriate argumentation and rationale to support the Commission's recommendation.) Further, there was consensus that staff should develop other incentives that might encourage self-selection to the Community Colleges in addition to the one concerning guaranteed admission for transfer students (e.g., fee waivers, etc.).

Note: During discussion of Chapter II, under a guarantee of admission, there was general consensus that language similar to that used in the last paragraph (third and fourth sentences; p. 7), pertaining to the use of subjective criteria for regular admissions, be incorporated into the third paragraph under segmental admissions (p. 4).

Segmental Governance

- General consensus to 1) Delete the second and third paragraphs pertaining to UC and CSU; 2) Rewrite the last paragraph beginning "all three governing boards shall delegate...", to be more explicit as to intent and to make it clear that the delegation of authority does not [illegible] abdication of the responsibility for oversight and accountability. In addition, the second sentence of that pargraph, pertaining to students, will be rewritten to delete the phrase "be provided the opportunity to".

In response to questions from Commissioner Estrellas concerning the meaning of the phrase "students shall participate in appropriate aspects", Adrian Graham stated, on behalf of the Student Advisory Committee, that students should participate in all areas where the decisions being made will have an impact on them (e.g., collective bargaining, resource allocations for programs that will affect the undergraduates and graduates on campus, etc.).

The Commission discussed the paragraph concerning Community College governance and pages 19-21 of the addendum. The following action was subsequently taken.

Action: It was moved and seconded that the Community College governance issue be prepared and submitted to the Commission at its June 1987 meeting as a separate agenda item, with a detailed cover sheet or narrative outlining why this is an important issue and the supporting rationale for the Commission recommendation. The motion passed unanimously.

II. New Students, New Needs, New Guarantees

General Comments: 1) Make the linkage explicit between equity and graduate education and pulling up of K-12 -- the pool of qualified candidates to postsecondary institutions can be greatly increased by successful K-12 reform efforts; 2) Amend the language in the second paragraph of the introduction to clarify that this is not meant to assure or guarantee admission to the "institution of choice."

A Guarantee of Equity

- General consensus to 1) Provide stronger language and be more specific as to how committed the institutions must be to the development and maintenance of articulation programs, particularly between the CSU and the UC (e.g., at CSU there are institutions with large numbers of underrepresented students who do not see a natural progression to the doctoral level at the UC campuses).

A Guarantee of Admission

° General consensus to 1) Clarify intent of the phrase "all those who succeed at the Community College level" (second para., p. 7); i.e., how is success defined? Would they still have to meet a standard?; 2) The last paragraph (p. 7) pertaining to special action admissions needs to be clarified in light of the Commission's earlier decision on the use of objective and subjective criteria (e.g., some students who are currently special action admits may become regular admits); indicate that the use of subjective criteria will enable the institutions to take cognizance and give proper weight to the kind of high school experience a student has had; need to define what type of students the special action category includes (i.e., not just minorities); also need to clarify whether the intent of this paragraph is to focus on the admissions process and making more students regularly admissable or the expansion of the number of students admitted through special action.

A Guarantee of Equity for Older, Part-Time Students

° General consensus to 1) Clarify that it is not the Commission's intent to diminish the already significant role of the Community Colleges in meeting the needs of older, part-time students.

A Guarantee of Financial Assistance

° General consensus to 1) Strengthen the discussions of financial assistance and expectations for the Student Aid Commission (e.g., allow more coherence and less fragmentation in the way programs are developed and delivered throughout the state); 2) The last sentence of the third paragraph (p. 8) that "Student Aid Commission policies shall encourage students to attend a Community College for the first two years of undergraduate study", should either be deleted entirely from the report or moved to another section to be addressed in the proper context; 3) Amend the last sentence of the first paragraph to read "...will be provided adequate financial support to attend 'the college of their choice'; 4) Add another paragraph that talks about a commitment to provide financial aid for all students who are needy; 5) Amend last paragraph to refer to increasing the number of minority students "and women."

A Guarantee of the Chance to Succeed

° General consensus that although the issue of remedial courses is already a matter of state policy, the paragraphs on p. 9 should remain in the report because of the Commission's strong belief that remediation ultimately has no place at the postsecondary level and should eventually be phased out as the preparation of students by the public schools improves; in addition, the tone of these paragraphs should focus more on success than limitation.

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III. Toward Enhancing Educational Quality

Note: There was general consensus that the report should include a mechanism for assessing whether the broad based state goals articulated in the Master Plan are being met (e.g., CPEC, on a regular basis, would do an evaluation of whether the goals are being met; presented at the beginning of the budget cycle).

Undergraduate Instruction and Quality Teaching

- General consensus to 1) Strengthen, clarify intent, and provide the rationale for the statements in paragraph 3 (p. 11) that teaching be given the greatest weight in the promotion and tenure process; 2) Strengthen paragraphs 5 and 6, regarding the use of part-time faculty, pointing out that in some instances the use is already excessive and emphasize the need to correct existing problems; 3) Clarify intent of the statement in paragraph 7 (p. 11) concerning rolling contracts (e.g., not intended to prevent part-time faculty from working in multiple districts, but provides a mechanism for them to get out of working in multiple districts and become full-time); 4) The fourth paragraph (p. 11) refers to the need for professionals to be adequately trained prior to entry into the classroom and the second full paragraph (p. 12) refers to the need for professional development and renewal after they enter the system -- the traditional way in which both are defined typically leaves out the importance of "instructional skills." These paragraphs should be strengthened and clarified to stress the importance of "instructional skills" both in terms of preparation and continuing professional growth; 5) The third full paragraph (p. 12) concerning student faculty ratios and class size will be rewritten to include the need to work toward a goal of reducing existing student faculty ratios and provide the rationale for seeking such reductions (e.g., greater faculty interaction with students, public school services, adequate training of teaching assistants, etc.); 6) Fourth full paragraph (p. 12), amend the second sentence "...to enhance the diversity, supply, and recruitment of 'quality' candidates for faculty..."

Vocational Education

- General consensus to 1) Clarify the intent of the last sentence of the first paragraph (p. 14) concerning the data collection system.

New Information Technologies

- General consensus to 1) Delete the words "lead" and "primary" in the second and third paragraphs (p. 14); 2) Point out that the public schools are leading the colleges and universities in the instructional application of new technologies; 3) Reference the role of CERT in assuring coordinated, statewide application of appropriate instructional technologies.

IV. Toward More Efficient Use of Educational Resources

Cost Containment

Some concerns were expressed that beginning this chapter with the subject of cost "containment" was too negative and those paragraphs should be placed further back in the chapter.

Pricing Public Postsecondary Education

- General consensus to 1) Provide the rationale as to why the Commission believes it should be public policy to hold the state primarily responsible for the cost of postsecondary education; 2) Delete the last paragraph concerning state support for graduate student financial aid; 3) In the third paragraph (p. 17) regarding the segmental governing boards having the authority to differentiate by level and program in establishing student charges, stress the responsibility of the governing boards for understanding and being able to report on the differences in costs between undergraduate and graduate instruction, particularly at the UC.

Long Range Planning

- General consensus to 1) Add "student services" to the list contained in the first paragraph, second sentence (p. 18); 2) Provide the appropriate rationale and clarify the intent that it would not be CPEC's role to do the long range planning for the segments, but to develop, in consultation with the segments, the assumptions upon which planning will be done by the segments (current segmental planning assumptions differ and plans cannot be compared or integrated, even though the current statutes require such integration).

In response to Commissioner comments regarding the viability of "annual preparation of 20-year enrollment projections, Mr. Evans pointed out that the segments currently must plan 15-20 years in advance for construction of campuses.

Addendum - Further Recommendations

- General consensus to provide a more detailed explanation of why the CSU should be removed from state agency status and point out that such removal would not be retroactive, would not eliminate the Brown Act, or exclude CSU from other overarching public policies. Provide examples of the problems this recommendation is designed to solve.

Prologue

- General consensus that in light of the change in format, the Prologue will be substantially revised and shortened; will become an executive summary and road map into the report. In addition, statements regarding Article XIIIB will be placed in the "cost" section of the report, along with an explanation of the problem.

Preliminary Cost Estimates

- General consensus to 1) Spell out, under item #5, the principal elements involved in the calculation; 2) Reflect, under item #17, what the potential "cost avoidance" might be if the state had to accommodate all students who might be diverted; 3) Delete those recommendations where "minor additional costs" are indicated and where "costs would be borne by the segments"; 4) To the extent possible, provide a matrix of the estimated costs.

The meeting was adjourned at 2:15 p.m., Wednesday, May 20, 1987.

June 17, 1987
Date

Lee R. Kerschner, Executive Director

ATTACHMENT A

SPEAKERS LIST
Master Plan Commission Public Hearing
May 18, 1987

1. Dr. Martin Kirschenbaum, President, California Graduate School of Marital and Family Therapy

2. Dr. Rena Merritt Bancroft, President, San Francisco Community College Centers

3. Ms. Tyra Duncan-Hall, Executive Administrative Assistant to the Chancellor, San Francisco Community College District

4. Mr. Christopher Cabaldon, University of California Student Association

5. Dr. Jerri Smock (private citizen)

6. Mr. Philip Forte', Pacific Western University

7. Dr. Alvin P. Ross, California Association of State-Approved Colleges and Universities

8. Mr. Donald Bretlow, Century University

9. Dr. Gerhard Brand, California Faculty Association

10. Mr. Patrick McCallum, Faculty Association of the California Community Colleges

11. Mr. David Wolf, President, LA Pierce College; CEO Organization

12. Mr. Peter Blomerley, Superintendent/President, Ohlone College; CEO Organization and CACC

13. Dr. Mark Edelstein, President, California Community College Academic Senate

ATTACHMENT B

SEGMENTAL EXECUTIVES/DIRECTOR'S PRESENTATIONS

Dr. Joshua L. Smith, Chancellor, California Community Colleges

Chairman Shansby, Commissioners, Director Kerschner and my esteemed colleagues, I am honored by your invitation to appear again before you and to outline briefly my views and my hopes as Chancellor of the California Community Colleges concerning this second draft of the Master Plan. I was privileged to address this body at the beginning of the second phase of your work and to describe my view of major public policy issues that included: (1) maintaining a skillful and creative faculty; (2) addressing the changing nature of students; (3) assuring student access to all three segments; (4) developing capital outlay planning and policies; (5) maintaining funding for higher education; (6) improving intersegmental cooperation; and (7) addressing issues of institutional evaluation and student outcomes.

To your credit you have addressed these and other important policy issues in ways that have and should continue to provoke serious consideration by the public, the segments, the legislature, and the administration.

Although we haven't compared notes, I do believe that our separate presentations today will convey a sense of unity of purpose. We are, after all, partners in the single most important enterprise of our state and nation -- education. If the four of us can extend by our remarks the concepts of unity and equity that pervade the draft, we will have demonstrated that we can work more closely together in the future than we might have in the past in pursuit of that single unified goal of an educated citizenry.

At the outset, I applaud this draft and the Commission's work which has led to it. There is clear evidence that your work is valued. Surely, you will, and should, continue to refine the words, phrasing and format -- but you have succinctly warned us that we simply cannot be complacent nor do we stand alone. More importantly, as we all search for implementation strategies, you have expressed confidence that we can, through an expanded, carefully orchestrated voluntary association, sort out and resolve differences, develop and implement necessary coordinated segmental policies and programs, and eliminate obstacles to student progress.

In my presentation today I would like to focus primarily on four aspects of your draft report in relation to the importance of the unified approach to serving California's citizenry that the draft report recommends. The four aspects are: (1) the essential interdependence of our institutions; (2) student access and admissions policies; (3) available resources; and (4) community college governance.

Essential Interdependence -- The California Education Round Table

Regarding the proposed activities for the California Education Round Table outlined in the second draft, I agree that there must be a body responsible for coordinating segmental policies and programs. I agree wholeheartedly that it must be voluntary. Although we'll likely have to make some modest staff adjustments and reorder some internal priorities, I welcome the challenge to try. The six proposed initial responsibilities of the Round Table can be made manageable and are central to the themes of unity and equality. I especially applaud the assignment to the Round Table for the support and creation of an articulation mechanism to eliminate obstacles to student progress and to review admissions requirements. Much progress has been made in this area in the past year and a half -- but more must be accomplished. I would like to offer an additional initial responsibility for the Round Table: coordination and oversight of segmental efforts to increase representation of women and minorities in the higher education work force. Much can be gained, I think, by elevating this issue to Round Table status.

Student Access and Policies

On May 7th, I sent a letter to Chairman Shansby with copies to all of you commenting on the discussion that ensued at the last Commission meeting which linked together student eligibility to California State University and University of California, maintenance of the 40/60 ratio of lower to upper division enrollments in those institutions, and the quality of community college instruction. In that letter, I reminded Chairman Shansby that recent studies have reaffirmed that community college transfers perform equal to native University of California and California State University students.

On the basis of what I read in this draft on the subject of student access, I did not have to remind you of the necessity for reinforcing the role of the community colleges as an equal partner in the higher education enterprise. You have done that through the following interrelated recommendations; for example:

- holding lower division enrollment in University of California and California State University to no more than 40 percent of total undergraduate students in order to accommodate community college transfers treats community colleges as equal partners and is a unifying feature.

- recognizing the right of qualified community college students to transfer to a baccalaureate level institution on equal terms with native students who have reached upper division status treats community colleges as equal partners and is a unifying feature.

- requiring community college students to successfully complete a minimum of 56 units including transfer core curriculum as part of this guarantee of admission to University of California or

- California State University equal to continuing students is reasonable given the other rights just outlined. I believe this unit requirement also treats community colleges as equal partners and is itself a unifying feature.

These recommendations constitute a logical follow through to the call in the *Challenge of Change* for the development of core curricula and the enhancement of community college academic quality. I strongly support the Commission's thinking along these lines.

Available Resources

I agree that community colleges should be funded through the annual budget act, and that the State Department of Finance, the Legislative Analyst and California Postsecondary Education Commission should carefully scrutinize and comment upon our budget formulas and expenditures in the context of appropriate standards and workload measures. Such funding and oversight for community colleges are obvious and necessary requisites to the community colleges becoming equal and effective partners with the University of California and California State University.

Although we are awaiting the Commission's cost estimates, the revisions proposed surely will not come cheaply. My staff is in the process of costing out AB 1725, which incorporates much of your work. We have, for example, identified 30 separate new state and/or local cost items in AB 1725. The projected amounts exceed 170 million and may be closer to $240 million upon closer scrutiny. If the community colleges are to be true partners in the higher education enterprise they must have the resources to support our mission of high quality lower division and vocational education. Under funding of your recommendations as they relate to community colleges, and as they are inserted into AB 1725, will simply damage the chances of successful implementation. We must not let that happen.

Community College Governance

Although there may be some grumbling within our segment regarding the community college governance features described in the supplementary recommendations, I personally find them acceptable. Membership on the Board of Governors, their term lengths, Board confirmation of district chief executive officers, are viewed in a variety of ways - but logically they all fit - and I do not oppose these important features which support unity and equality. My hope is that the substance of these recommendations will be incorporated into proposed legislation to provide the Board of Governors and the system with authority consistent with the responsibility assigned to us.

In a matter closely related to the clarification of community college governance within full partnership with our sister segments, your draft proposes certain principles for capital growth. I strongly support these principles for they reinforce the delineation of role and function among the three public higher education systems consistent with efficient use of fiscal and human resources.

Now, let me briefly provide a response to a few other components of the second draft.

I support the recommended studies for noncredit and ESL. Both issues deserve the special focus of the California Postsecondary Education Commission. ESL programs are somewhat uncoordinated, do vary greatly, and involve other segments of education. The same can be said for noncredit instruction. We have not been able to satisfactorily resolve definitial and territorial questions either within our segment or with the secondary schools. What is needed is an objective look at the 10 state-funded areas of noncredit unencumbered by the impassioned lobbying that has brought previous efforts to a standstill. I pledge my support of such an endeavor.

Proposed removal of state agency status for California State University reminds me of our own dilemma which, of course, is much more absolute than is CSU's. Although your draft report deals with community college governance separately, I would recommend that reference to my office be added to the text of the state agency status discussion so as to not give an impression that only California State University is affected.

Reference is made to the Student Aid Commission having primary responsibility for formulating state policy. I agree. However, the segments should administer all of the financial aid programs available on their various campuses -- not only those supported from institutional funds. Campus financial aid officers are closer to the scene of activities and can respond more quickly to student requests.

I read with interest that portion of the draft dealing with retention, promotion and tenure, and especially that part addressing the part-time issue. As you know, it's important that community colleges continue to have flexibility in their uses of part-time faculty. But it is more important that instructional quality not suffer as a result of that flexibility. In some cases it may have. My board and I accept the challenge in the draft to ensure that part-time faculty curricular responsibilities are comparable to those for full-time faculty; and, if you will help us find a way, to compensate them accordingly.

In closing, I would like you to know that we take the work of this Master Plan Commission very seriously. The significantly reconstituted Board of Governors takes your work very seriously. My staff and I intend to review with the Board of Governors on May 29 the outcomes of this meeting. We will examine the work of the Joint Legislative Committee, and compare the differences and similarities among AB 1725, the Challenge of Change recommendations, and this draft of the Master Plan revisions. I will recommend that the Board support in general AB 1725 while working to achieve refinements and adjustments in its language. I plan to be an advocate for your continuing good efforts to unite our segments into a true partnership in higher education, working together voluntarily with one common goal -- the belief that we can and will provide for an educated California citizenry through a master plan that takes us into the 20th Century.

Dr. W. Ann Reynolds, Chancellor, The California State University

Members of the Commission, It must seem a long time to you since we first approached you on a blustery day in April over two years ago. In the more than 24 months which have passed you have produced a landmark report addressing the community colleges. You are now close to completing the most significant phase of your task.

During these two years, you, as Commissioners, have learned a great deal about all levels of education. So much so that in this room is congregated probably the most knowledgeable educational policymaking and recommending group that this state has ever known. I compliment each of you for your independence and sincere efforts to address all issues fairly and squarely.

I wish to commend your leadership: Gary Shansby and Denny Campbell for so ably representing you as well as those of us in education. Lee Kerschner has been, in my opinion, an excellent leader of the staff. He has been open and cooperative, yet independent in action. Finally, I must acknowledge the indebtedness of the California State University community to Dr. Claudia Hampton for so effectively representing this system's interests including those of faculty, staff and students.

When I read the first draft of the final document, I was struck by its freshness of approach. And, while I know that much is changed within the current draft, the tone and the themes of unity, equity, quality and efficiency make for an imaginative document.

I know that there are differences among you as to whether this is a totally new master plan, a revision of the 1960 document, or a combination of the two. While I tend to agree with the suggestion that this is a "new and revised Master Plan," I suggest the label is not so important. What is important is whether the document is sufficiently all encompassing to serve as the plan to guide us for the coming decade. I believe that it is, and for that you must be commended.

Last July I appeared before you and outlined some of the myths, realities and dreams in respect to The California State University. While I do not see all of our dreams realized in the plan before you, I see many statements which reinforce the basic mission of the California State University. Most importantly, I know that you have conscientiously and fairly addressed those matters which we have believed to be of great importance to us.

The document, as a whole, is perhaps somewhat understated in the impact which a number of its recommendations will have. For example, the proposals concerning student financial aid are most significant in respect to opportunities for student choice. When the implications of these as well as other proposals are thought through, then the report takes on a far bolder character than it may on first reading.

I know that you will present your report to the Joint Legislative Committee on the Master Plan. But I trust that we all agree that there are many policy directions and proposals which need not, and should not, require specific legislative direction. In many ways this was the genius of the 1960 Master Plan which was largely implemented through mutual agreement as contrasted to legislative direction. The place accorded the California Education Round Table in your work is a reflection of the potential for action by consensus rather than action by legislative mandate.

Let me now move to more specific points which I would like to highlight following the order in which they appear in the document.

I reiterate for the record the commitment of CSU to the Round Table concept. Staff currently are developing plans to implement the responsibilities outlined in the report. I concur with the suggestion developed in staff discussions last week that educational equity issues should continue to be one of the concerns of the Round Table.

I am most pleased to recognize the need for recognition and State support for research activities among our faculty. It has been suggested by staff that reference to "basic" vs. "applied" research is a distinction without a difference. I agree. The document should be edited accordingly.

Since the basic mission statement is so important, the language shown on p. 4 could be sharpened as follows: "The California State University shall conduct state-supported research in support of its undergraduate and graduate mission; it shall have primary but not exclusive responsibility among the public institutions for research in elementary and secondary instruction and for conducting research related to the instructional use of new information technology." These changes have been discussed with staff.

On pp. 4-5 the issue of transfer to UC and CSU is first raised. I am in strong agreement with the need to encourage and assure transfer students a place in one of our senior institutions. I would like to observe at this point, however, that for the California tripartite system to work, all community colleges must be able to offer a sound, comprehensive and rich lower division program serving both general education needs and preparation for the major. I am heartened by the recent decision of the Governor to increase support for community colleges. I hope these additional resources will find their way to enhancing lower division, transfer oriented programs.

The Commission has correctly highlighted the need to consider education equity to be pervasive throughout the university. I encourage you to see to it that equity concerns are viewed as central to our operating budgets as well as in our academic policies.

The group that has been the most forgotten in higher education in the United States and in California is the American Indian. California has the nation's largest population of American Indians, surpassing Oklahoma and Arizona. Yet, the high school graduation rate and college-going rate per capita among the American Indian population are tragically low.

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I plead with the Commission to acknowledge this reality and include a statement in the report that recognizes the responsibility to provide the American Indian with educational equity and charges California's public higher education to address this special community.

The Commission has also correctly emphasized the importance of preparation for college as the key to achieving educational equity and access and success of those groups who are now currently underrepresented. Consequently, I caution the Commission in any statements which would lead to expanding the numbers of special action admissions. The best approach is to assure that preparation occurs before the fact of entering college and to reduce the dependence on special admission and remedial programs. At the same time I concur with the conclusions on the need to increase retention, especially among underrepresented student groups who are often exceptional admission students.

The plan stresses the role that California State University should play in serving older students. We eagerly assume this responsibility as it has been consistent with our policies and practices. Clearly this is a mission which we share with community colleges.

We in the California State University have been working in anticipation of your findings regarding the need to improve teacher education programs. We welcome the encouragement of assuming a research agenda in association with the schools. Perhaps the greatest challenge to us today is to see to it that our bright young ethnic minority students consider teaching as a career for at least for some portion of their career. This is one of the most important challenges facing us.

I am pleased that in several ways the Commission has highlighted CSU's predominant role in providing baccalaureate-level education. Your support and policies designed to prevent the erosion of student-faculty ratios and to foster faculty professional development are most welcome. While we should be cost conscious and be alert to duplication, quality costs dollars in fair compensation; for instructional support services as libraries and laboratories; and for people to instruct and serve our students.

In the section on quality assessment, the report calls for the heads of systems to exert their influence on accrediting agencies to expand attention to student outcomes and the quality of general education programs. You have my support for this effort. At the same time I am concerned that the statement regarding qualitative review of unaccredited institutions is not forceful enough. It is essential that California not be viewed as the most wide open state in the union for educational entrepreneurs.

Undoubtedly in your deliberations the issue of 60:40, upper division/lower division relationships in CSU and UC, and the impact of such policies on planning for new institutions and centers will be raised.

We are in accord with the general concepts behind the several statements in the plan. The essential point to me is that you need to acknowledge over the next ten years the growth curve is upward and we must plan accordingly. The growth among the age groups who will seek to attend our campuses will be greater in some areas of the state than others. To the degree that some student groups are mobile due to family status and economically we can make use of capacity on a statewide basis. However, for many individuals, typically those who are older and less affluent, we must consider new facilities on a regional basis.

Furthermore, there is good evidence that for whatever reasons, California is not educating the numbers of baccalaureates that one would expect. The sorting out of the directions for growth will place a great responsibility on the segments and upon State planning agencies such as the California Postsecondary Education Commission.

In 18 pages you have encapsulated significant new policy directions as well as reaffirmed those which have stood the test of time. It is a conservative document in that you have sought to preserve the best of the past and present. It is a liberalizing plan as you have emphasized new directions. It is a job well-done.

Dr. David P. Gardner, President, University of California

Mr. Chairman, members of the Commission. I appreciate the opportunity to be with you today. I wish to note, however, that I have had very little time to study the draft report since its recept last Tuesday, owing to meetings of the University's Board of Regents last week. The prologue was received just this morning. My testimony this afternoon, therefore, is incomplete. We will, of course, respond more fully as soon as we have had an opportunity thoroughly to examine the draft report and analyze its proposals and the implications they carry for California higher education.

Frankly speaking, the Commission will need to make clear the purpose this report is intended to serve, before an informed and helpful set of comments can be prepared by interested parties, including the University of California. Specifically: Is the report intended to replace the 1960 Master Plan in its entirety; or is to intended to amend certain provisions of the Master Plan while leaving the remainder of the Plan intact; or is it intended to interpret the Master Plan, but not fundamentally change it? I raise these questions by way of illustration. I am very unclear about what the draft report is expected to do. As it stands, the draft report raises more questions for us than it answers.

Allow me to illustrate. The draft report talks about "lead responsibilities" for the University of California, The California State University, and the Community Colleges. The notion of a "lead responsibility" for each of these segments is not clear to me at all, either conceptually or operationally.

What does the concept of lead responsibility mean, both for the segments assigned a "lead" and for those segments not assigned a "lead"? If the Community Colleges have lead responsibility for lower division education, for example, what does this mean with respect to the nature of lower division work offered at CSU and UC and the students enrolled as freshmen and sohpomores in the three public segments? Moreover, the report implies in Section IV that the assignment of lead responsibility will somehow impact funding for each of the segments. How or why is not clear. Similarly, what does the concept of lead responsibility mean with respect to funding for UC's enrollment of undergraduate students, with our being assigned lead responsibility for graduate education, or for the funding of CSU's graduate programs given UC's lead role? The draft report is unclear on all of these and related questions. The current Master Plan clearly differentiates the roles of the three public segments of higher education in California. The concept of lead responsibility confuses this issue. The differentiation of the roles assigned to the Community Colleges, CSU, and UC in the current Master Plan is a fundamental building block of any Master Plan. The lead responsibility idea makes ambiguous what needs to be clear, thus inviting confusion and competition among the segments.

Another example appears on page 4, where it is stipulated that UC and CSU shall "administer their admissions policies for first-time freshmen and transfer students to hold lower division enrollment to no more than 40 percent of total undergraduate enrollment." The 1960 Master Plan stated that a 40:60 ratio was a goal for UC, but it did not prescribe ways to reach it. The draft report, in contrast, would require us to turn away UC-eligible students who wish to attend the University either as freshmen or as transfers, if admitting them would place UC in conflict with the prescribed 40:60 ratio. This proposal would indirectly alter UC's admissions requirements by making the 40:60 ratio rigidly operative. Such a momentous change in admissions policy should not be made by indirection. If your intention is to change the Master Plan in this respect you should, I believe, undertake to do so directly so that the educational and public policy implications that flow from such a recommendation are made clear.

The draft report combines, in fact, a number of recommendations with implications for our admissions policies without ever explicitly recognizing what those implications are. For example, the requirement that UC give preferential treatment to Community College transfer students who were originally eligible for UC means that transfer students from independent institutions, CSU, or UC will be disadvantaged. Moreover, it will also disadvantage our own first-time freshmen who are not always able to attend the campus of their first choice. It also means that "second chance" students, an important focus of the 1960 Master Plan and the segment of the student population with which the Community Colleges have traditionally dealt so well, will likely be disadvantaged by the emphasis on students who are UC-eligible as freshmen. In addition, the combination of guaranteed access to campus of choice for transfer students and preferential forms of financial aid for Community College students carries profound and adverse implications for the educational and ecnomic well-being of California's independent colleges and universities. And finally, one draws the strong inference that the report proposes, as a matter of State policy, to limit UC undergraduate enrollment by shifting UC-eligible students to the Community Colleges.

Another example involves research. The University of California supports the 1960 Master Plan stipulation that UC and CSU should receive State funding for research consistent with their assigned functions under the Master Plan. The draft report muddies the issue, in my view, not only by the use of the term lead responsibility but also by subdividing the assigned roles even further.

On page 4 of the draft report, for example, it is stated that CSU will have "primary but not exclusive responsibility" for applied research in the areas of primary and secondary instruction and the instructional use of new information technology. As a practical matter, it is less than clear to me that anything is to be gained by making distinctions of this kind or otherwise further refining the present division of labor between CSU and UC in this area. In many ways the State would be better served by a greater emphasis on intersegmental cooperation in educational research than by any attempt to impose a vague and ultimately artificial distinction between the segments on issues of this kind.

Another example. A great strength of the 1960 Master Plan was that it established a structure within which State planning for higher education could proceed in an orderly way. A number of provisions in the draft report will, I believe, result in a less effective long range planning process, not a better one. These provisions, as illustrated in the Report's final paragraph on page 18, will increase the probability of California higher education becoming less diverse, more bureaucratized, less adaptable, and, ultimately, more politicized.

As far as the budget planning process is concerned. I should point out that the current process, for the University of California, does not--contrary to the description in the draft report--operate by formula alone. Under this process, the University, the Legislature, and the Governor all receive advice from CPEC, and that advice is very valuable to each of us.

Moreover, the draft report appears to define a new role for CPEC that would give it power to disestablish graduate programs and to revise budget formulas. The former is a prerogative of the Board of Regents, which it has delegated to the University's Academic Senate; that is where it belongs. The latter is a responsibility of the Governor and the Legislature; that is where that belongs.

I could go on, but I believe it would not be helpful. As I mentioned earlier, this is not a comprehensive response to the draft report; time has prevented me from doing more than mention a few areas that are obviously unclear or confusing.

Part of the difficulty I have with the draft report is that it is trying to fix something that isn't broken. As you know, the work of this Commission arose principally because of concerns for the Community Colleges--their future and their relationship with the senior segments. I believe that the 1960 Master Plan did leave some unfinished business with respect to the Community Colleges, and the Commission addressed those questions last year. The University has supported your recommendations in this area and encouraged their enactment. Indeed, we are anxious to work together to strengthen the Community Colleges. Without a strong Community College segment, the senior segments cannot rely on the colleges to perform the transfer function so essential to the successful fulfillment of each of our Master Plan roles.

But as far as the senior segments--UC and CSU--are concerned, the Master Plan is, in my opinion, as credible and workable now as it was in 1960. The plan established a single system of higher education in California while encouraging a high degree of diversity within that system, a characteristic whose value was reaffirmed in the review of the Master Plan that occurred in the early 1970s. That review explicitly recognized the richness and vitality that such diversity introduces into California's system of higher education and the unique way in which access and quality were to be realized.

The 1960 Master Plan is a broad framework, not a narrowly prescriptive one, that defines and provides mechanisms allowing us not only to address immediate problems and concerns, but also to grapple with future challenges. Your report on the Community Colleges last year makes the point. This broader, rather than narrower, approach is a preferable means of dealing with the very different population mix and educational requirements that California will face in the future. Broad frameworks endure; narrow prescriptions are short-lived.

As I said when I first addressed this Commission, it may be a truism, but one surely supported by the record, that California has better than any other state created the conditions under which the public and private colleges and universities of our state could meet their obligations, while avoiding the destructive competition so often seen elsewhere. The genius of the Master Plan was the decision to assign to each of the public segments clearly defined educational missions within which each was encouraged to develop programs of the highest quality. To an extent that has never been duplicated elsewhere, California has succeeded in creating and sustaining an outstanding system of higher education.

The Master Plan is far more than a 27-year-old document. It is very nearly an Organic Act for higher education in California, parallel in some ways to the unwritten British constitution in that it incorporates not just statutes but collective experience as well. The Master Plan in this broader sense includes the original report of the Master Plan committee, whose recommendations were endorsed in principle by the governing boards of the public segments; the Donahoe Act, which enacted certain of the recommendations into statute; later legislative amendments, which adjusted but did not fundamentally alter the broad framework the Master Plan established; and subsequent interpretation and practice. This body of statute and experience has worked exceedingly well.

Higher education in California can be strengthened and improved without tampering with the Master Plan's basic building blocks. Or to put it another way, the Master Plan need not be rewritten in order to strengthen California higher education; and it is, after all, the improvement of our colleges and universities that should be our overriding concern.

Dr. David K. Winter, President, Westmont College; Chairman, Association of Independent California Colleges and Universities

Mr. Chairman, Commissioners, it is a pleasure to speak to you on behalf of the independent colleges and universities regarding the draft revisions to the Master Plan which you have before you. We are particularly pleased that this Commission has taken the highly important--even historic--step of having this state's Master Plan formally recognize the significant role which the independent sector plays as one part of the comprehensive, public/independent, system of higher education in California.

Enormous changes have occurred since the Master Plan was written in 1960, and it is no longer appropriate to treat the independent colleges and universities as an unstated, or merely an assumed part of the Master Plan. They are an integral part of what your draft plan appropriately calls "one system." The independents are sufficently important to the future of higher education in California, and the adverse consequences of their neglect by public policy over the last decade is now sufficiently evident, that they simply must be accorded a proper place in the Master Plan and in the implementing legislation to follow. The Commission has recognized this imperative and has acted on it. We commend your wisdom in doing so.

I also want to say at the outset how much we appreciate the support of the other segments in our efforts to have the revised Master Plan acknowledge the role of the independents and set forth basic policies which give substance to that recognition. As the work of this Commission has shown, California's "one system" of education is comprised of interdependent parts. What happens in one segment--whether it be a change in fees, admissions policy, general education requirements or whatever--tends to have consequences for the other segments. And I think it has been amply demonstrated to this Commission that the segment I represent is very much a part of this interactive and interdependent process. I acknowledge that there is some irony in what I am saying here: We call ourselves the "independent" colleges and universities because "private" carries the connotation of being either exclusive or proprietary. So, we distinguish ourselves from the public sector and from the for-profit schools with the label, "independent."

Yet, in many ways we are one of the interdependent parts of California's education system, which means, of course, that we are not entirely independent. Most of our students come to us from the public schools. Many of our faculty have recieved their doctoral training at the University of California; and we are an important provider of faculty to UC, CSU, and the Community Colleges. Also, as we have brought to your attention more than once, we are a valuable resource to the State of California because we carry about a quarter of the workload among the senior segments of higher education, while the state puts only about two percent of its expenditures for the senior segments into financial support of students who attend our institutions. Although it is a small amount--and as you know, we think it is too small--it is nevertheless an important source of indirect support for our institutions. And while it would not be accurate to say that the very existence of the independent sector depends on this indirect support, in varying degrees our institutions certainly depend on the Cal Grants which students bring to them. Moreover, it is fair, and I believe it is important, to say that the level of state funding of this indirect support will determine to a substantial degree both the extent and the quality of our role in California's future.

So, we are an integral part of an interdependent system. The other elements are important to us, just as we are important to them, and to the integrity of the whole. And we appreciate the support they have shown during this review process as we have endeavored--successfully, it now appears--to have the role of our sector adequately reflected in the Master Plan.

Another aspect of the draft report of this Commission which we regard as especially worthy of comment is one that recognizes and seeks to strengthen this interactive and interdependent system. I am referring to your recommendation that the California Education Round Table be identified as the principal entity responsible for coordinating intersegmental programs and activities which have evolved over the years. Among the important findings which the Master Plan review process has yielded is the conclusion that great coherence, visibility and accountability are needed in the management of intersegmental programs and activities. We strongly agree. Moreover, it is a conclusion to which the Education Round Table was coming on its own, having received numerous comments in recent years from the Legislature, the Governor's office, and CPEC regarding the need for improvement in this area. As a member of the Education Round Table, I can assure you that we gave extensive consideration to the proposal that our organization should play a more vigorous and accountable role in intersegmental activities. Our decision to create an Intersegmental Coordinating Council in order to achieve this purpose is evidence of our seriousness in this matter.

I am aware that concern was expressed by some Commissioners and staff members as to whether the Round Table (and its ICC) could be effective if conducted as a voluntary organization. I want to take a moment to tell you why I think it can be.

California is among the most fortunate of the larger states in having a system of education which is not comprised of warring tribes. To be sure, we have competition among the segments. But in contrast with other large states, our system is characterized by a high degree of cooperation and good will among the segments. To a great extent the credit for this admirable situation goes to the Master Plan's delineation of function. But it is also due in part to the fact that California has wisely refrained from trying to legislate intersegmental relations, i.e., to force cooperation and collaboration through statutes. This approach has been tried in other states, comparable to California in size and complexity, and has not been very successful. Even the effectiveness of CPEC is not based so much upon statutory muscle, as upon the quality of its analytical, evaluative, and consultative work, and upon its reputation for fairness and independence.

It seems clear that the leaders of the education segments have recognized the need for more effective and accountable conduct of intersegmental programs and activities, and they have taken the initiative to do something about it. I believe it follows that these leaders will have the desire, the determination, and the pride to succeed in their common effort. Such an approach is consistent with the history of good relations among the education segments in California, and it should be given an opportunity to prove itself. I think it will work, and I join my colleagues in the other segments in pledging to make it work.

Finally, if there were just one message I could leave with you today, it would have to be my concern over what has been happening in the independent sector as our institutions have strained to compensate for the alarming decline in both federal and state financial aid to students. Last month among the faculty representatives testifying before this Commission was Professor David Axeen of Occidental College. I want to remind you of one of the things he said, and it is a remarkable statistic: Next year institutional financial aid expenditures at Occidental will be more than 20% of the operating budget of the college, and will exceed the amount budgeted for faculty salaries!

Bear in mind that most of our institutions have always allocated a portion of their funds to support needy students. Twenty years ago Oxy spent 9% of its budget on financial aid. But the rise to 20% is quite a story, and it represents a trend in the independent sector which is disturbing. For the less well endowed institutions, such as my own college, the mounting expenditures for student aid mean that we must reduce funds for other needs--such as staff salaries, library collections, computers and science equipment, or maintenance of buildings and grounds. Another concern is that as we compensate for declining governmental support for student aid, inevitably, we must raise tuition. And this simply widens even further the alarming tuition gap. It's a vicious cycle, and it cannot be broken without intervention from the State of California. For the independent sector this problem is so fundamental that if it is not solved, none of the other problems will matter very much. That is why we have made this concern central in our representations to the Commission and that is why we take satisfaction in your recommendations regarding student aid.

We acknowledge that having the presence of these policies in your final report aimed at helping to solve the major problems of the independents, does not necessarily mean the problems will be solved. In the words of Robert Frost, "there are miles to go and promises to keep." Clearly, obtaining support by the Joint Legislative Committee for enactment of implementing legislation is a major challenge still to be met. But we would not even have the opportunity of meeting that challenge if the necessary recommendations were not contained in your report. We are pleased that they are there. We trust that they will remain in the final draft, and that together with you and the leaders of the other segments, we will press on successfully to meet the tremendous challenge we all face as we seek to provide high quality education for all of the deserving students in our state.

Dr. William H. Pickens, Director, California Postsecondary Education Commission

Mr. Chairman and Members of the Commission, I appreciate the opportunity to comment on the second draft of the new Master Plan for Higher Education. I shall divide these remarks into some general observations about those elements which produce successful master plans and then turn to some specific observations on the document before you. Initially, though, let me recognize what a monumental undertaking your efforts represent -- that is, the systematic review of the enormous and complicated enterprise called postsecondary education in California.

There is, of course, no single "right" way to construct a master plan; each state has different traditions and expectations for its educational institutions, and this diversity results in different kinds of "plans." Nevertheless, I think the 1960 Master Plan is a good model for California, certainly in terms of the elements of planning which made it successful.

The first element which distinguished the 1960 Plan was that it presented a clear vision and a relatively simple message. The vision was that the institutions as they then existed would be swamped by all the new students of the 1960s who were the first wave of the "baby boom" generation. The message was that the State would not be able to enroll those students without a plan which would describe where the demand would occur and which would define the kinds of institutions where they might enroll. Further, the plan was clear that the State should create different kinds of institutions to use its resources most efficiently.

The second important elements of the 1960 Master Plan was that its direction was developed from large amounts of data -- namely from enrollment projections, estimates of needed faculty, and likely costs. The examination of higher education started with a careful review of what quantifiable information existed and ended with a case for institutional change based on trends derived from this data.

Third, the Plan focused on future problems, not on those of the present, and contained a distinct sense of urgency. The Plan's proposals become even more compelling because they followed a description of what the future would be like if there were no plans or changes, and why the public interest would not be served by allowing that to happen.

Fourth, and in my judgment the element most important in insuring the success of the 1960 Master Plan, it defined institutional structures within which issues could be raised and decisions made. The Plan sought primarily to identify processes and to describe objectives rather than to specify how to achieve those objectives. In this way, they hoped to build a system whose evolution could successfully meet new challenges without having to be fundamentally altered each step of the way.

Despite its influence, in retrospect the 1960 Master Plan contained notable gaps and glaring defects, such as its reliance on trends of traditional college age youth and its regrettable inattention to racial and ethnic minorities. But these four fundamental characteristics of the process resulted in a blueprint which has served California well by establishing an educational system that could enroll large numbers of students (our "participation rates" in higher education are consistently within the top five nationally); by creating a system which maintained enough political credibility so that the State has committed sufficient resources to develop nationally recognized institutions in each segment; and by promoting a diverse set of public institutions that do not, and have not been permitted, to all look alike.

Certainly the circumstances are different now than twenty-five years ago: the state is much larger; its population more diverse; and its educational needs are different. Nonetheless, the document before you ratifies the institutional structure in this 1960 Master Plan and therefore is a tribute to their success made possible, in large measure, by these four fundamental elements of planning. In contrast to their product, however, this current document reflects a dissatisfaction with many of the present policies, practices, and procedures in postsecondary education, more than with the institutional framework. Again, in contrast to the Plan of 1960, the recent review process has gone into great detail about the current condition of higher education, more so than about future challenges which may be quite different. Further, the tendency to become extremely specific in certain areas--such as the detail for the California Education Round Table--and quite general in others--such as references to "one educational system"--undermines the document's usefulness as a true "Master Plan."

Comments on Specific Items (which should be added to the Plan): 1) Some notion of expected enrollment demand and how that should be accommodated; 2) Identification of State-level mechanisms to assess the impact of proposed changes in admissions requirements; 3) The importance of access to timely and accurate data about students as they progress through the public schools and make the transition to postsecondary education; 4) An emphasis on undergraduate education at the University of California; 5) An indication of the magnitude of resources required to achieve changes.

Items Which Should Be Clarified: 1) The meaning of "one educational system"; 2) The place of this document in the evolution of California's "Master Plan for Higher Education."; 3) The implications of "lead responsibility" for the Community Colleges in academic and vocational instruction; 4) How the recommendation concerning State-funded research at the California State University should be implemented; 5) The objective sought by the requirement that the four-year segments should administer their admission policies for first-time freshmen to insure a lower division enrollment of no more than 40 percent of total undergraduate enrollment; 6) How the governance and the finance systems of the Community Colleges are congruent and mutually reinforcing.

In sum, I believe that your document should both ratify many patterns and traditions, but also point the way for a journey that will take several years and will be led by many diverse parties, including the institutions and state officials, along the way. That journey should have "excellence" as one of its banners, but I would urge you not to allow that term to be defined in only a few, limited ways. Rather, excellence should parallel the notion conveyed by the term "postsecondary" rather than "higher" education--that is, there are many paths toward "excellence" since people have diverse educational needs and the institutional response must not be in terms of a hierarchy (that is, "higher" or "lower") but rather as diverse institutions committed to effective service for their particular students. Finally, I would like to commend your emphasis on the leadership responsibilities of governing boards and administrators. Despite the need for a Master Plan to define institutional arrangements, these alone cannot make up for a lack of leadership and commitment to worthy goals among the people responsible for the institutions.

Commission for the Review of the Master Plan for Higher Education
Red Lion Inn, Donner Room
Sacramento, California
June 15-17, 1987
Minutes

Commissioners Present:	J. Gary Shansby, Chairman; William D. Campbell, Vice Chairman (15-16); Seth Brunner; Henry Der; Patsy Estrellas (16); Claudia Hampton; Harvey Hunt; Meredith Khachigian; George Kieffer (15-16); Felix LeMarinel (16-17); Peter McCuen (15-16); Edward Mosley; Michael Peevey (16-17); Ray Remy; Glenn Rothner (15-16); Harold Williams (15-16)
Staff:	Lee R. Kerschner, Executive Director; Jerome Evans; Julie Fahrenbruch; Ron Saufley

Call to Order

The meeting of the Commission for the Review of the Master Plan for Higher Education was called to order by Chairman Shansby at 9:30 a.m., Monday, June 15, 1987 in the Donner Room of the Red Lion Inn, Sacramento, California.

1. Approval of the Minutes

Action: It was moved, seconded, and carried that the Commission approve the minutes of the May 18-20, 1987 meeting as distributed.

2. Chairman's Report

Chairman Shansby reported that SB 405 (to extend the Commission's sunset date to December 31, 1987) has passed the Assembly and is on the Governor's desk for signature. On behalf of Commissioners and staff, he expressed appreciation for their efforts to Senator Jim Nielsen and staff aide Jon Peterson; Assemblymember John Vasconcellos and Chief Staff Consultant Brian Murphy; Senator Gary Hart and staff aides Bill Whiteneck and Ann Sutherland; and Assemblymembers Charles Bader and William Leonard and staff aide Bill Furry.

Chairman Shansby confirmed that the Commission's final meeting will be held on Wednesday, July 22, 1987 from 9:30 to no later than 3:00 p.m. in Sacramento. A press conference will be scheduled that afternoon at approximately 3:00 p.m. An appropriate press release for the Commission's final report will be prepared by the Executive Director in consultation with the Chairman.

On behalf of the Commission, Chairman Shansby expressed appreciation for the excellent support and contributions Ron Saufley has made as a member of the Commission staff. He noted that Ron will be leaving the staff the end of June.

The Commission conducted a public hearing on Monday afternoon, June 15, 1987. The hearing was devoted to issues concerning the third draft of the revisions to the Master Plan for Postsecondary Education. The list of speakers is provided in Attachment A. Copies of written testimony provided by individual speakers have been distributed to all Commissioners.

Prior to the lunch break on Monday, June 15, Chairman Shansby introduced Peter Mehas, Education Advisor to the Governor. Mr. Mehas stated that the Commission's report will be extremely beneficial to both the Legislature and the Governor in dealing with education issues. He noted that the Challenge of Change was the basis for the Governor's commitment to Community College reforms and emphasized that "it is now up to all of us to make sure that many of your key recommendations are implemented." In response to questions from Dr. Kerschner, Mr. Mehas stated that he would support scheduling a formal presentation of the Commission's final report to the Governor and would work with staff in making those arrangements. Mr. Mehas also complimented the Commission on the excellent relationships it has established with the Joint Legislative Committee and expressed his appreciation to Dr. Kerschner for keeping the Governor's Office of Education informed as to the Commission's activities.

On Tuesday afternoon, June 16, Chairman Shansby introduced Senator Jim Nielsen, author of SB 1570, establishing the Commission for the Review of the Master Plan for Higher Education. Senator Nielsen indicated his belief that the Commission's efforts in redirecting the future of higher education in this state for the next century have resulted in "a product that is awesome and one that is due the highest praise." He noted that California is in a more challenging time now than it was in 1960 and emphasized the importance of the Commission actively assisting in the implementation of its recommendations through public contact, press conferences, hearings, and the like, not only now but in the years to come as well. Following Senator Nielsen's remarks, Chairman Shansby expressed the Commission's appreciation for the Senator's encouragement and enthusiastic support of the Commission's activities, and also acknowledged the outstanding support and assistance Jon Peterson has provided to the Commission and its staff throughout the development of its report.

3. Community College Reform: Governance

At its May 1987 meeting, the Commission instructed staff to prepare a supplementary report on Community College governance that could be issued separately from the Master Plan and transmitted to the Joint Legislative Committee. A draft transmittal letter and report, based on the Commission's previous action to approve a "unified state-local system", was provided in the agenda.

Following discussion it was agreed that the report would be amended to make the following changes: (1) Clarify that the Board of Governor's will have primary authority and responsibility for academic and financial matters, but will most likely delegate many of those responsibilities back to the local district boards for further delegation to their chief executive officers; (2) Amend the first paragraph, first sentence, under local governing boards as follows: "The state shall be divided into ~~a maximum of 70~~ Community College districts,..."; (3) Under local governing boards, amend the third paragraph, last phrase as follows: "...and shall employ all other district personnel as provided by ~~statute~~ law."; and (4) Insert subheading "Powers and Duties", after the second paragraph under local governing boards.

Action: It was moved and seconded that the Commission approve the report on Community College governance, as amended, for transmittal to the Joint Legislative Committee. The following substitute motion was offered.

Action: It was moved and seconded that the above motion be amended to delete the recommendation that the Board of Governors confirm the appointment of district chief executive officers. The substitute motion failed to pass by a vote of 9 to 3, with 4 Commissioners absent.

Action: The original motion to approve the report on Community College governance, as amended, for transmittal to the Joint Legislative Committee passed by a vote of 10 to 2, with 4 Commissioners absent.

4. Third Draft of Proposed Revisions to the Master Plan for Postsecondary Education

At its April and May meetings, the Commission discussed the first and second drafts of a proposed new Master Plan for Postsecondary Education in California, 1987-2002. Following extensive debate, the Commission rejected the concept of a new Master Plan and directed staff to prepare a substantially revised document that focused on revisions and clarifications of the Master Plan.

The report was to identify in clear language the problems and proposed solutions. Staff was further directed to return to the basic format, style, and numbering system used in Challenge of Change.

Dr. Kerschner reviewed the revisions suggested by the Student Advisory Committee, Faculty Advisory Committee, Intersegmental Staff Advisory Committee, and the Campus Presidents/Chancellors Advisory group. He noted that staff will incorporate some of the suggested revisions into the final draft as appropriate.

The following paragraphs outline the various revisions requested by the Commission that will be incorporated into the final draft for presentation and adoption at the July 22, 1987 Commission meeting.

TRANSMITTAL LETTER

Consensus to (1) Add "better educated citizenry" to the 3rd paragraph; (2) Add "for the public schools" at the end of the last sentence of the 4th paragraph; (3) Add, in the 5th paragraph, references to "faculty, students, and higher education and public school organizations"; (4) Amend the last sentence of the 7th paragraph as follows: "...the future ~~will~~ may require further refinements"; (5) Amend the 8th paragraph as follows: "We therefore recommend that ~~in the year 2000~~ early in the 21st Century a new ~~citizens'~~ commission be established to develop a master plan for ~~the 21st Century for~~ all California education, preschool through Ph.D., public and private."

REPORT TITLE

Near the end of the day on Wednesday, June 17, staff reviewed a number of suggestions received from various individuals for the title of the Commission's report. Following a brief discussion, it was agreed that the report would be titled: "The Master Plan Renewed: Unity, Equity, Quality, and Efficiency in California Postsecondary Education."

INTRODUCTION

Following significant discussion, there was consensus to revise the "Introduction" as follows: (1) The first five paragraphs will be substantially rewritten so that the focus is not solely on equity and competition from overseas -- need to stress the importance of education to the state and to make statements in more factually specific and defensible terms (e.g., more likely in the future to become less of a center for innovation then we are now).

California and Its Educational System: 1960-1987

Consensus to (1) Amend the 2nd paragraph to include the phrase "UC is one of the world's premiere..."; "CSU...is one of the premiere..."; and the "California Community Colleges are among the premiere..." -- avoid overstatements; (2) Amend the 6th paragraph to indicate that in 1960 the public schools were not recognized as a significant issue for higher education; the expectations were different (e.g., the dropout issue in 1960 was not a matter of high public visibility); (3) Amend 9th paragraph, last sentence as follows: ~~"Today there is widespread~~ The concern that undergraduate teaching ~~is~~ was being sacrificed to the pursuit of leadership in graduate training and research was just beginning. Now, it is a major issue."

Updating the Master Plan for Postsecondary Education

Consensus to (1) Amend the 2nd bullet (Equity) as follows: "... have unrestricted opportunity to fulfill their educational potential and aspirations."

1. Unity

Consensus to (1) Amend the last sentence of the 1st paragraph as follows: "We recommend a ~~bold~~ new voluntary solution."; (2) Amend the last sentence of the 2nd paragraph as follows: "We recommend ~~expanded and~~ more comprehensive and clearer mission statements."; (3) Amend the last sentence of the 4th paragraph as follows: "We recommend ~~new student rights~~ a right of access to the baccalaureate degree."; and (4) Amend the last sentence of the 5th paragraph as follows: "We recommend ~~a new~~ an expanded and strengthened Board of Governors."

2. Equity

Consensus to (1) Retitle Chapter II to more accurately reflect the focus on equity and to correspond with the new report title; (2) Amend the 2nd sentence of the 1st paragraph as follows: "... severely disadvantaged by ~~being barred from~~ societal barriers to educational opportunity..."

I. TOWARD A UNIFIED EDUCATIONAL SYSTEM

The Missing Link

Recommendation 1 (CERT) -- amend the last paragraph as follows: "The Director of the California Postsecondary Education Commission shall sit as an ex officio, nonvoting member..."

Recommendation 2 (mission statements) -- (1) Amend the California Community Colleges mission statement to remove the last sentence pertaining to vocational education and place it at the end of the mission statement for the elementary and secondary schools (clarify that the term principal is referring to the Community Colleges and secondary schools and not the four year institutions); (2) Amend the last sentence of the CSU mission statement, concerning research, as follows: "Research, scholarship, and creative activity in support of its undergraduate and graduate instructional mission is authorized in the CSU and shall be supported by the state. The CSU shall have a particular responsibility among the public institutions for research in..." A new footnote will be added to indicate that the phrase "state support" is not meant to exclude other sources such as private foundations or federal funds. The footnote concerning UC will be amended as follows: "Delineation of CSU's research responsibility ~~are not meant to~~ does not exclude the University..."; (3) Amend the independent, accredited degree granting institutional mission statement as follows: "...shall provide undergraduate and graduate instruction ~~according to established accreditation standards~~ and ~~shall conduct~~ research in accordance with their missions."

A Unified Admission System

Dr. Kerschner reported that a modification of the Commission's recommendations on segmental admissions policies was discussed with various segmental representatives the previous day. As a result of those negotiations, Dr. Kerschner presented the following outline of a proposal that would modify the text and recommendations 3 and 4, under a unified admission system, as contained in the June agenda.

- For the University of California there would be a two year waiting period (1987-88 to 1989-90) in which the University would not be expected to reduce its current enrollment ratio. That waiting period would (1) allow time for the Community College reforms proposed by this Commission to take effect and (2) allow time for the University of California to "gear up" for increased transfer programs and to devise mechanisms to attract more transfer students.
- Beginning in the academic year 1989-90 through 1995-96 the UC will reduce its percentage of lower division students at the rate of 1% per year; by 1995-96 the UC will achieve an enrollment ratio that is no more than 40% of undergraduate enrollment. Further, the UC long range planning documents will be revised to reflect this change (UC's current planning ratio is 45/55).

- The University of California and the California State University shall continue to select first-time freshmen from those who rank among the top 1/8 and 1/3 respectively; both UC and CSU would be free to select from the entire pool or a portion of that pool.

- A guarantee of access for Community College transfer students to a campus within the UC or CSU system for which they were originally eligible; and a guarantee of equal treatment with native students for access to programs (not necessarily at a particular campus).

- A mechanism for determining satisfactory progress on the part of the University of California, the California State University, and the Community Colleges in complying with these recommendations will be included in the plan.

At the Chairman's request, representatives from the University of California, the California State University, the Chancellor's Office of the California Community Colleges, and the Association of Independent California Colleges and Universities commented on the proposal as outlined above. Their comments were supportive of the basic thrust, but each noted that the specific language would need to be reviewed and further negotiated. There was general consensus among the Commissioners and segmental representatives that the proposal was very constructive, would achieve a more effective admissions policy over the long term for the State of California, and provides an opportunity to avoid very disruptive and harmful conflicts within the educational sector.

Action: It was moved and seconded that the Commission approve "in principle" the above proposal to modify Recommendation 1 (a unified admission system), for final presentation and adoption at its July 1987 meeting. The motion passed with one abstention.

Dr. Kerschner stated that drafting of the new language on admissions will be the staffs' first priority and, upon completion, will be immediately sent to the appropriate segmental representatives for further review and negotiation. Staff will then make further revisions, as appropriate, and the proposal will be sent to Commissioners for their review prior to final printing of the July agenda.

Governance in a Unified System

Consensus to include in the text some discussion or general description of the roles and responsibilities of the governing boards, links with other governing boards, and their public trust.

Recommendation 5 (Community College governance) -- no revisions in the recommendation, but several modifications will be made in the text in accordance with Commissioner discussions under agenda item 3 (page 3 of these minutes).

Faculty and Student Participation in Governance

Consensus to amend the 1st paragraph, last sentence, as follows: "There is an Intersegmental Committee of the Academic Senate..."

Recommendation 6 (delegation to faculty senates and student participation) -- Amend the 1st two sentences as follows: "All three governing boards shall delegate appropriate authority to faculty senates with respect to academic standards; curriculum; policies for hiring, evaluation, and retention of faculty; and other academic matters. Students in all three public segments shall participate in appropriate aspects of campus and segmental ~~administration~~ governance."

II. NEW STUDENTS, NEW NEEDS, NEW GUARANTEES (Note: To be retitled as noted earlier.)

A Guarantee of Equity

Consensus to clarify, in the text and in Recommendation 7 (Equity), that: (1) references to the development and funding of "performance driven incentives" is specifically designed to provide additional funds based on some indicators of performance; not meant to include a mechanism whereby the Legislature may cut funds; (2) Place greater emphasis on the accountability of the governing boards, in addition to faculty and administrators, whereby they must also hold themselves accountable for achieving educational equity (tie those sentences closer together); (3) Provide a cross reference to tie in the responsibility of the CERT with respect to systemwide equity efforts.

Recommendation 8 (recruitment of faculty and administrative staff) -- Amend the last paragraph as follows: "The CPEC shall submit an annual report to the Legislature on the status of faculty and staff diversification..."

A Guarantee of Financial Assistance

Recommendation 9 (student financial aid) -- Amend as follows: "The Governor and the Legislature shall ~~continue to~~ guarantee and support California's ~~historic~~ commitment to student financial aid in a manner which ~~maximizes~~ optimizes student choice."

A Guarantee of Equity for Older, Part-Time Students

Recommendation 10 (CSU & UC responsibilities for older, part-time students) -- Amend the 3rd and 4th sentences as follows: "The role and mission statements of both segments..." "The Regents and Trustees shall...and shall review and where necessary ~~alter~~ adapt admission standards..."

A Guarantee of Chance to Succeed

Consensus to clarify in the text that the need for remedial education in postsecondary institutions is not solely a function of the public schools' performance; some remediation may always be necessary for reentry students, new immigrants, etc.

Recommendation 11 (accountability for retention rates) -- Consensus to amend the 1st paragraph, 1st sentence as follows: "The governing boards of the three public segments must..."

III. TOWARD ENHANCED EDUCATIONAL QUALITY

Quality in the Public Schools

Consensus to broaden the 1st paragraph of the text to include references to high risk students.

Recommendation 12 (education of teachers and service to the public schools) -- (1) Include the Community College Board of Governors in the 2nd paragraph (particularly in light of the recommendation that the Community Colleges have principal responsibility for vocational education); (2) Amend the last paragraph, 2nd sentence as follows: "...shall require teacher candidates to participate in classroom ~~residency~~ programs in which..."

Quality in Undergraduate Instruction

Consensus to broaden the 2nd paragraph, 2nd sentence in the text concerning the purpose of undergraduate education and to link it with the 2nd sentence of the 3rd paragraph concerning the importance of a coherent rationale underlying the undergraduate curriculum.

Recommendation 13 (the undergraduate curriculum) -- (1) Include references in the text to voluntary public service as an element of undergraduate education to encourage and reenforce democratic values (providing opportunities for students to learn by "practicing how to become..."); (2) Include references to general education as part of the "fabric" of the institutions; (3) Add a separate paragraph, as part of the recommendation, regarding voluntary (not mandatory) public service as part of one's educational development, for credit where appropriate; (4) Add the phrase "in consultation with faculty."

Consensus to amend the text preceding Recommendation 14 as follows: (1) Amend the 4th and 5th sentences to read "The ~~principal responsibility~~ primary mission of the CSU is instruction..." "The primary mission of the UC is instruction and research..."; (2) Include statements to the effect that "while on an individual, case by case basis there may be reason to emphasize one over the other, as a general matter the overall policy shall be that teaching be given at least equal weight at UC and the greatest weight at CSU; also, point out that although the current policy of the UC is equal weight the evidence is to the contrary.

Recommendation 14 (oversight of teaching quality and faculty evaluations) -- No revisions, other than those noted for the text.

Recommendation 15 (faculty and teaching assistants' instructional skills) -- No revisions.

Recommendation 16 (governing board policies regarding part-time faculty and rolling contracts for Community College part-time faculty) -- No revisions.

Recommendation 17 (faculty professional development) -- No revisions.

Recommendation 18 (student/faculty ratios) -- No revisions.

Quality in Vocational Education

Dr. Kerschner noted staff intent (subject to discussions with the Chancellor's Office of the California Community Colleges) to make some revisions in the language to give the State Job Training Coordinating Council responsibility solely for the initial establishment of the planning, evaluation, and data system; the Council would not have responsibility for running the system.

Recommendation 19 (establishment of a vocational education and job training data system) -- Include the State Board of Education in the consultation process.

Recommendation 20 (strengthening CPEC's capacity to review vocational and occupational programs) -- No revisions.

Quality in Graduate Instruction

Consensus to include in the text a broader statement of the importance of graduate education and references to the activities leading to development of the intersegmental degree programs board (item 2 of the Supplementary Recommendations).

Quality in the New Instructional Technologies

Recommendation 22 (appropriate institutional infrastructures and CSU research in the use of instructional technology) -- Amend 2nd paragraph, 1st sentence as follows: "The CSU shall have a particular responsibility for..."

Accreditation

Recommendation 23 (responsibility of CEOs as members of accrediting agencies) -- Amend the 1st sentence as follows: "...the Chief Executive Officers of the... institutions, as well as other official institutional representatives who serve, must exert their influence as board members of various accrediting agencies to ensure that:..."

IV. TOWARD MORE EFFICIENT USE OF EDUCATIONAL RESOURCES

Long-Range Planning and Cost Containment

Recommendation 24 (CPEC responsibility for long-range planning) -- No revisions.

Consensus to amend the text preceding Recommendation 25 to make the point in a more positive manner.

Recommendation 25 (growth of existing campuses) -- No revisions.

Recommendation 26 (CPEC review of cost containment methods) -- No revisions.

Recommendation 27 (CPEC review of budget formulaes) -- Amend the 2nd sentence as follows: "The objective of these studies shall be to make recommendations to the Governor and the Legislature about ways to eliminate incentives for excessive spending..."; Amend the 3rd sentence as follows: "These studies should also..." Consensus to include a list of items that might be looked at, in the "Supplementary Recommendations" section of the report.

Budgeting State Support for the California Community Colleges

Recommendation 28 (funding formulaes) -- No revisions.

Recommendation 29 (enrollment growth) -- Clarify that this recommendation is not meant to apply to Article XIIIB (Gann).

Pricing Public Postsecondary Education

Recommendation 30 (student fees) -- Amend 2nd sentence as follows: "Fees shall be maintained by the state and governing boards in a constant relationship to state support ~~for~~ within each segment..."; Also, clarify in the text the role of the Community College Board of Governors with respect to setting fees.

Recommendation 31 (differentiation in establishing student charges) -- Amend as follows: "The segmental governing boards shall have authority to differentiate ~~by level and program~~ between undergraduate and graduate charges and between professional programs at the graduate level in establishing student charges. Governing boards shall have the authority to set fees in relation to costs ~~when doing so is not likely to~~ in a manner that will not unduly influence student program decisions."

Recommendation 32 (nonresident tuition) -- No revisions.

Student Financial Aid Policy

Recommendation 33 (Student Aid Commission) -- No revisions.

V. CONCLUSION: RESOURCES AND RESPONSIBILITY -- No revisions.

APPENDIX A--SUPPLEMENTARY RECOMMENDATIONS

1. Intersegmental Coordinating Council -- (1) Amend last sentence of recommendation as follows: "...and shall include representatives of the ~~faculties~~ academic senates..."; (2) Include CPEC staff representative.

2. Intersegmental Degree Programs Board -- Include in the text under "Graduate Education" in Chapter III a paragraph referencing the process and negotiations that took place to enhance intersegmental degree programs.

3. Admissions -- To be rewritten in accordance with the agreements reached during review of Chapter I.

4. Community College Governance -- To be modified in accordance with Commission discussion and action taken under agenda item 3 (page 3 of these minutes).

5. Remedial Education -- No revisions.

Consensus to add a new item (#6) to expand Recommendation 27 (study of formulaes) to include reviews of workload issues such as class size, public service obligations, research, scholarship, etc.

APPENDIX B--RECOMMENDED STUDIES

3. Graduate Education -- Consensus to include in the text under "Graduate Education", Chapter III, the reasons why the Commission is recommending a study of the Masters Degree.

APPENDIX C--ESTIMATED COSTS AND SAVINGS RELATED TO THE COMMISSION'S RECOMMENDATIONS

Following brief discussions, there was consensus to display the estimated costs and savings in a matrix that would allow for easier reference and identification of the assumptions, sources, and costs and savings.

It was agreed that staff would review with CSU and UC representatives the substantial cost differences in item 10 (meeting the needs of older, part-time students) between the two universities. Staff will also clarify in item 11 that the $14 million recently provided for assessment, counseling, and placement in the Community Colleges is for start up costs only; delete the phrase "costs are now funded".

A summary statement of the total net costs will also be provided indicating that the net costs amount to approximately a 7 percent increase, of which approximately 60 percent is growth -- thus, the actual cost increases would be between 2 and 3 percent.

Mr. Evans noted that staff will continue to work with the intersegmental representatives to further refine the cost estimates and clarify any discrepancies. He stated that should important differences in views arise those differences will be indicated in the text.

APPENDIX D--THE COMMISSION AND THE PROCESS

Commission Members and Staff -- Amend the list of Commission members as follows: (1) Felix S. LeMarinel, ~~Los Angeles~~ Palmdale; (2) Michael R. Peevey, ~~Rosemead~~ La Canada Flintridge; and (3) Claudia H. Hampton, Los Angeles.

The Master Plan Process -- Add "students" in the 2nd paragraph listing of presentors at public hearings.

The meeting was adjourned at 11:30 a.m. on Wednesday, June 17, 1987.

July 22, 1987
Date

Lee R. Kerschner, Executive Director

ATTACHMENT A

PUBLIC HEARING SPEAKERS LIST
June 15, 1987

1. William R. Frazer, Senior Vice President, Academic Affairs, University of California
2. Winston C. Doby, Vice Chancellor, Student Affairs, University of California, Los Angeles
3. Tyra Duncan-Hall, Executive Assistant to the Chancellor, San Francisco Community College District
4. Ann C. Birge, Professor of Physics, California State University, Hayward; Former President, California Conference of AAUP; Campus Chapter President, California Faculty Association
5. Bob Bickal, Executive Director, California Conference, American Association of University Professors
6. Sam Kipp, Executive Director, California Student Aid Commission
7. Sal Alcala, California Association of Student Financial Aid Administrators
8. Gus Guichard, Senior Vice Chancellor, Chancellor's Office of the California Community Colleges
9. William Moore, President, Association of Independent California Colleges and Universities

Commission for the Review of the Master Plan for Higher Education
Clarion Hotel
Sacramento, California
July 22, 1987
Minutes

Commissioners Present:	J. Gary Shansby, Chairman; Seth Brunner; Henry Der; Claudia Hampton; Harvey Hunt; Meredith Khachigian; George Kieffer; Peter McCuen; Ray Remy; Glenn Rothner; Harold Williams
Commissioners Absent:	William D. Campbell, Vice Chairman; Patsy Estrellas; Felix LeMarinel; Edward Mosley; Michael Peevey
Staff:	Lee R. Kerschner, Executive Director; Jerome Evans; Julia Fahrenbruch; Leannah Padilla

Call to Order

The final meeting of the Commission for the Review of the Master Plan for Higher Education was called to order by Chairman Shansby at 10:15 a.m., Wednesday, July 22, 1987, in the Stanford Room of the Clarion Hotel, Sacramento, California.

1. Approval of Commission Minutes

Action: It was moved, seconded, and carried that the Commission approve the minutes of the June 15-17, 1987 meeting as distributed.

2. Chairman's Report

Chairman Shansby provided the following reports and expressions of congratulations and appreciation on behalf of the Commission:

- Commissioner Meredith Khachigian was recently appointed to serve on the University of California Board of Regents.
- Dr. Lee Kerschner was recently named as Vice Chancellor for Academic Affairs with The California State University.
- The Commission is scheduled to present its final report to the Joint Legislative Committee on the Master Plan on August 26, 1987, at 3:00 p.m. Staff is negotiating a date for presentation of the Commission's report to the Governor and will notify Commissioners when confirmed.
- Expressed appreciation for the excellent support the Commission has received from Senator Jim Nielsen (author of SB 1570, establishing the Commission) and his aide Jon Peterson;

the members and staff of the Joint Legislative Committee, in particular, its Chairman and Vice Chairman, Assemblymember John Vasconcellos and Senator Gary Hart, and Chief Staff Consultant Brian Murphy; and Governor George Deukmejian and his education staff advisor, Peter Mehas.

o Expressed appreciation to Dr. Kerschner and the members of the Commission staff for their dedication and excellent work in support of the Commission's activities over the past two-and-one-half years.

Chairman Shansby expressed appreciation to his fellow Commissioners for their contributions and service to the Commission and for their commitment to the improvement of education in the State of California. He also thanked, on behalf of the Commission, the students, faculty, administrators, and numerous other organizations and individuals in the audience for their contributions and participation in the Master Plan review process.

The members of the Commission also expressed their appreciation and support for the excellent leadership provided by Gary Shansby as Chairman and by William Campbell as Vice Chairman.

3. Final Review and Adoption of the Commission Report -- The Master Plan Renewed: Unity, Equity, Quality, and Efficiency in California Postsecondary Education

The following paragraphs outline the various revisions approved by Commissioners that will be incorporated into the final report.

TRANSMITTAL LETTER

Note: A statement that the Commission adopted its report with one dissenting vote will be included in the transmittal letter (see Commission action, page 7 of these minutes).

INTRODUCTION

The beginning text will be revised to provide statements about the changing demographics and ethnic and cultural diversity of the state.

Unforeseen Changes

Commissioners engaged in extensive debate concerning the use of the word "diversion" in the fourth paragraph, second sentence. Several possible alternatives were suggested in the course of that discussion. The majority of Commissioners concurred with the following revision: "The 1960 Master Plan policy of diversion of students to those colleges was seen as an effective and efficient way to educate lower-division students prior to their transfer to the four-year colleges and universities."

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The fifth paragraph will be amended to clarify that, although concerns were raised in 1960 that undergraduate teaching was being sacrificed to the pursuit of graduate education and research, it continues to be a major problem today.

Equity -- The two paragraphs will be combined.

Quality -- The first paragraph, last sentence, will be amended to read: "We recommend changes in higher education that will improve the public schools."

During discussion of Chapter V, it was agreed to add an ending paragraph to the "Introduction" that addresses: (1) cost implications and long term savings, (2) the benefits that a well educated, highly trained populace can bring to the state's social, political, and economic health, and (3) the need to modify or repeal Article XIIIB.

I. TOWARD A UNIFIED EDUCATIONAL SYSTEM

Missions Within A Unified System

Note: The last paragraph of the text in Chapter III, concerning greater access to the doctoral degree and expansion of intersegmental degree programs, will be moved to the missions section of Chapter I.

A Unified Admissions and Transfer System

Dr. Kerschner reported that although the University of California has indicated support for the admissions and transfer section, they are concerned about how it might be interpreted and have requested that a letter clarifying that support be included in the final report. Commissioner Williams distributed copies of that letter which he read into the record (see Appendix D of The Master Plan Renewed and Appendix B of the Issue Papers).

In response to questions from Commissioner Kieffer, Dr. Kerschner stated that the 40/60 ratio of upper-division to lower-division is a "systemwide" goal rather than by campus. The means of achieving that goal is left to the segments to determine.

Commissioner Remy questioned whether the institutional budget requests will reflect the objective of achieving that goal. Sandy Frietag and Sandy Smith, on behalf of the University of California, stated that the University's planning documents will reflect that objective.

Commissioner Der, noting that he had expressed concern regarding this section at the previous meeting, emphasized his belief that "the University of California and the California State University should always open their doors to all eligibile students who meet their qualifications. Recommendation #3 (admissions and transfer) is contrary to the recommendation made on equity, and I cannot support it."

Governance in a Unified System

Commissioner Rothner, noting that he does not support Recommendation #5 (Community College Governance), requested that he be provided the same opportunity to include a letter regarding the recommendations he does not support.

II. TOWARD GREATER EQUITY

Commissioner Der questioned whether the implication in the paragraph following Recommendation #7 (educational equity), that women have lower retention rates, is true with respect to undergraduate programs. Dr. Kerschner noted that the text would be rewritten to clarify that women are underrepresented at the *graduate* level, outside of the traditionally female fields of English Literature and Education.

III. TOWARD ENHANCING EDUCATIONAL QUALITY

Quality in the Public Schools

Concerning Recommendation #12 (priorities for the education of teachers), last sentence of the second paragraph, Dr. Kerschner reported that several Community College representatives have requested that, rather than recommending the Board of Governors establish a pilot program, that the Board be included with the CSU Trustees and UC Regents in the first sentence of that paragraph. No comments in support of that change were made by Commissioners. Therefore, the recommendation will remain as written in the July draft.

Quality in Undergraduate Instruction

Amend fourth paragraph, fourth sentence, to read: "Campuses must establish clear curricular objectives, match curricular development to those objectives, and *institutionalize a systematic evaluation of* program and individual curricular offerings."

Commissioner Rothner noted his continued disagreement with Recommendation #16 (part-time faculty rolling contracts) and expressed his intent to address this recommendation in his letter of dissent on specific recommendations.

Quality in Graduate Instruction

Amend second paragraph of Recommendation 21 (study of master's degree) to read: "The California Postsecondary Education Commission seek private foundation or state support for a blue ribbon commission to study the master's degree in the California State University, the University of California, *and the independent institutions*."

The last paragraph of the text, concerning greater access to the doctoral degree through expansion of the intersegmental degree programs, will be moved to Chapter I, under "Missions Within a Unified System."

IV. TOWARD MORE EFFICIENT USE OF EDUCATIONAL RESOURCES

Long-Range Planning and Cost Containment

Commissioner Der expressed concern that "when talking about efficiency and funding issues, there is clearly a strong direction or move to single out noncredit education." He stated his belief that "there will be substantial growth in the need for noncredit education in the State of California, particularly for immigrants who, as taxpaying citizens, have a right to the basic survival skills taught in the community colleges." Commissioner Der specifically noted his concern with the text preceding Recommendation #25 (proposed growth of existing campuses), which permits community college campus expansion for growth in lower-division and occupational programs, but not for increases in noncredit and community service courses. He stated that "this presumes the outcome of the study called for by the Board of Governors in the appendix."

Dr. Kerschner pointed out that noncredit courses can also be offered in environments outside of the campus and, further, that the studies called for by the Board of Governors and the California Postsecondary Education Commission could result in greater attention to the type of noncredit programs Commissioner Der was most concerned about.

Following a brief discussion, it was agreed that the text preceding Recommendation #25 would include a footnote referencing the studies on state-supported noncredit instruction called for in Appendix B, item 1 of the report.

Pricing Public Postsecondary Education

Commissioner Der stated, with respect to Recommendation #30 (student fees), that he has "some reservations with vesting the Board of Governors with the responsibility for establishing community college charges."

Recommendation #32 (nonresident tuition) will be amended to read: "Nonresident tuition for all three public segments shall be equal to the average cost of instruction and related services, including administration but excluding research, except that it shall not exceed the average charge at comparable institutions in other states."

Dr. Kerschner noted his understanding that the University of California and the Legislative Analyst are close to reaching agreement on a list of comparable institutions. (Note: The cost estimate for Recommendation 32, contained in Appendix C, will be amended accordingly.)

V. RESOURCES AND RESPONSIBILITY

The final paragraph, second and third sentences, will be amended to read: "It is likely, however, that Californians will be called upon to choose between repealing or modifying Article XIIIB or abandoning their traditional commitment to educational opportunity. We believe that they should not abandon that commitment."

Commissioner Der noted his disagreement with the above statement, emphasizing his belief that "the Commission should go for a repeal of the Gann limit."

APPENDIX A -- SUPPLEMENTARY RECOMMENDATIONS

No revisions requested.

APPENDIX B -- RECOMMENDED STUDIES

No revisions requested.

APPENDIX C -- ESTIMATED COSTS OF THE COMMISSION'S RECOMMENDATIONS

It was agreed that the text preceding the cost estimates for specific recommendations will be amended to incorporate areas where there are likely to be long term savings that are not easily quantified (e.g., taking advantage of unused capacity in independent institutions, accommodating the great majority of lower-division students in the Community Colleges, and a coordinated system of long-range planning).

It was further agreed that the summary paragraph, to be included at the end of the "Introduction," will incorporate statements about the impact on the economy of a quality educational system, the alleviation or avoidance of social problems that come from a better educated citizenry, and references to Article XIIIB.

Jerome Evans noted that the cost estimates for Recommendation #10 (state-support for all CSU and UC matriculated enrollment in courses leading to a degree) and Recommendation #32 (nonresident tuition) will be amended prior to printing of the final report.

APPENDIX D -- THE COMMISSION AND ITS PROCESS

No revisions requested.

APPENDIX E -- SB 1570 Nielsen; Chapter 1507, 1984

No revisions requested.

Chairman Shansby called for a motion on the final draft report:

Action: It was moved and seconded that the Commission adopt its report, The Master Plan Renewed: Unity, Equity, Quality, and Efficiency in California Postsecondary Education, with the revisions approved at its July 22, 1987 meeting. The motion passed, with one dissenting vote from Commissioner Der.

Chairman Shansby stated that Commissioners who indicated their desire to include letters of dissent on specific recommendations should contact staff immediately to work out the details. The letter distributed by Commissioner Williams and Commissioner Rothner's letter, when received, will be included in a new appendix to the final report.

It was agreed that any last minute details, prior to printing of the final report, will be worked out by the Chairman and the Executive Director.

4. Press Conference

Chairman Shansby reminded Commissioners that a press conference is scheduled at 3:00 p.m. in the Governor's Press Conference room, first floor of the State Capitol. He encouraged all Commissioners to attend.

Dr. Kerschner reported he has agreed to make himself available for presentations and speeches on the Commission's report, as appropriate. Effective September 1, Jerome Evans will assume responsibility for working with the Commission on various legislative activities and for closing the Commission office by the end of the year.

The meeting was adjourned at 12:25 p.m., Wednesday, July 22, 1987.

August 26, 1987
Date

Lee R. Kerschner, Executive Director

APPENDIX B

COMMISSIONER COMMENTS AND DISSENTS

Commissioner Henry Der voted against approval of the Commission's report. His letter of dissent was not received in time to be included in Appendix D of the report, The Master Plan Renewed, and is therefore appended to this document.

Letters from Chairman J. Gary Shansby and Commissioners Glenn Rothner and Harold Williams, previously published in the Commission's final report, are repeated here.

STATE OF CALIFORNIA **GEORGE DEUKMEJIAN, Governor**

COMMISSION FOR THE REVIEW OF THE MASTER PLAN FOR HIGHER EDUCATION
1215 FIFTEENTH STREET, SECOND FLOOR
SACRAMENTO, CALIFORNIA 95814
(916) 445-0132

J. Gary Shansby
Chairman

William D. Campbell
Vice Chairman

Commissioners

Seth P. Brunner
Henry Der
Patsy Estrellas
Claudia Hampton, Ed.D.
Bill Honig
Meredith J. Khachigian
George David Kieffer, Esq.
Felix S. LeMarinel
Peter A. McCuen, Ph.D.
Edward R. Mosley, M.D.
Michael R. Peevey
Ray Remy
Glenn Rothner
Harold M. Williams

Executive Director
Lee R. Kerschner, Ph.D.

August 3, 1987

The Honorable George Deukmejian,
Governor, State of California

The Honorable David A. Roberti
President pro Tempore of the Senate

The Honorable Willie L. Brown, Jr.
Speaker of the Assembly

Gentlemen:

As Chairman of the Commission for the Review of the Master Plan for Higher Education, I would like to make a few comments about the final report, the Commission, and the manner in which it carried out its responsibilities.

I believe that the Commission has been very effective over the past two-and-a-half years in meeting the challenge presented to us by SB 1570. The Commissioners were appointed by the Governor, the President pro Tempore of the Senate, and the Speaker of the Assembly and represented a very broad range of interests and viewpoints. Yet from their first meeting they put their commitment to education before any other commitment. Despite their many other responsibilities, 15 of the 16 Commissioners served the entire term of the Commission. Only Commissioner Rothner served for less than a full term, having been appointed following completion of the study of the Community Colleges. Attendance at the meetings exceeded 85 percent, and all Commissioners participated actively in debating the issues that came before us.

In addition to the participation by the Commissioners, we received excellent input on a consistent basis from representatives of the California Community Colleges, the California State University, the University of California, the independent colleges and universities, the California Postsecondary Education Commission, and the Department of Education. Throughout the study, Commission meetings and public hearings were well attended by senior staff of the segments. We were also pleased to have continuing advice and counsel from students, faculty, union organizations, campus administrators, chief executive officers, local and statewide governing board members, legislative and gubernatorial staffs, and authorities on education from across the country. In summary, the participation and involvement of everyone was very gratifying.

I believe that the Commission carefully reviewed all matters of importance that came before it, focused its attention on the most important policy issues, and debated those issues openly and at length. Moreover, it did so in a spirit of cooperation and dedication to the task at hand. The first report, Challenge of Change, which dealt solely with the California Community Colleges, was approved by unanimous vote of the Commission. Three Commissioners who dissented on a few issues explained their positions in letters that were included in background documents to the report. The final report, The Master Plan Renewed, was approved by all Commissioners with the exception of Commissioner Henry Der. Appended to the report is a letter from Commissioner Williams clarifying his support for one set of recommendations and a letter from Commissioner Rothner dissenting from two recommendations. A letter from Commissioner Der explaining his position was not received in time to be appended to the report, and is therefore included in Appendix B of the Issue Papers to The Master Plan Renewed.

Commissioner Rothner's letter also outlines his view of the Commission's process and composition. I am confident that the majority of the Commission disagrees with this view and believes that his comments are inappropriate and inaccurate. The Commission was able to review all matters of importance in significant detail and was able to make a strong case for each of the recommendations it presents in the report.

The Commission is hopeful that the Joint Legislative Committee and the Governor will review our recommendations and will propose and approve supporting legislation that will strengthen higher education in California. The recommendations cover all of the most pressing issues, and, we believe, deal effectively with the needs of our citizens well into the next century.

On a personal note, I would like to express my appreciation for the opportunity to serve as Chairman of the Commission. I have enjoyed the process, and I am very proud of the Commission, the staff, and the participation of so many people who have contributed to those recommendations. I endorse the final report in its entirety.

Sincerely,

J Gary Shansby

J. Gary Shansby
Chairman

Chinese for Affirmative Action 華人權益促進會
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August 21, 1987

Mr. J. Gary Shansby, Chairperson
Commission for the Review of the
Master Plan for Higher Education
1215 Fifteenth Street, Second Floor
Sacramento, Ca. 95814

Re: Dissent to The Master Plan Renewed: Unity, Equity, Quality, and Efficiency in California Postsecondary Education

Dear Mr. Shansby:

With regret, I cast a dissenting vote to The Master Plan Renewed: Unity, Equity, Quality, and Efficiency in California Postsecondary Education, as adopted by the Commission for the Review of the Master Plan for Higher Education on July 22, 1987.

The heart of the Master Plan Renewed centers on two hotly-debated recommendations: Recommendation #3 to require the University of California (UC) by 1995 to maintain lower division enrollment systemwide at no more than 40 percent of total undergraduate enrollment so as to improve the community college transfer education function and Recommendation #5 to create the California Community Colleges as a unified state-local system to strenghten governance by the Community College Board of Governors, especially to confirm the appointment of local district chief executive officers.

I share the Commission's goals to improve the transfer education function and to strenghten and clarify the duties and responsibilities of the Community College Board of Governors. But, I strongly believe that the specific provisions of Recommendations #3 and #5 are seriously flawed and void of the analytical rigor necessary for adoption by the State.

This memorandum will discuss the 40/60 (lower to upper division enrollment ratio), governance of the California Community Colleges, California Education Round Table (Recommendation #1), state-supported non-credit instruction (Recommendations #2 and #25), recruitment of minorities as graduate students and faculty (Recommendation #8), and faculty rolling contracts (Recommendation #16).

Recommendation #3
40/60 Ratio: Irrelevant Solution to Access

The Commission lays considerable blame for the decline of the community college transfer education function on the University of California for attracting a larger percentage of high school graduates who were eligible for admission as freshmen during the past decade. The Commission argues that as fewer and fewer high school graduates enrolled as full-time transfer students in the community colleges, transfer programs declined and became less attractive to baccalaureate-bound students.

The Commission also suggests that some community colleges have broadened their educational offerings in search of enrollment so that their "real mission" of transfer education has become obscured.

At present, lower-division enrollment at the University of California is approximately 46 percent of total undergraduate enrollment. In order to achieve the 40 percent lower division target, UC would have to reject 10,000 of its lower division students and redirect them to the community college.

Beginning in the academic year 1989-90, the Commission wants the University of California to reduce the percentage of lower division students to 40 percent by 1995-96. The Commission assumes that rejected UC-eligible high school graduates will enroll at the community colleges and reinvigorate the transfer education function. Implicit in this assumption is the widely-held notion that the transfer function is not working.

If the Commission had conducted an analytical review of the 106 community colleges, their current transfer rates to four-year public and private institutions, geographic location, and, where applicable, inclusion in a multi-college district, the Commission would have reached a different conclusion about the current status of the transfer function and the proposed 40/60 policy. In the preparation of this memorandum, my review of relevant enrollment and transfer data indicates:

(a) the transfer function is working better than what the Commission has assumed;

(b) geographic proximity has fostered special relationships between certain rural and Central Valley community colleges and the California State University; the absence of a UC campus in the Central Valley has exacerbated relatively low number of UC transfers by Central Valley community college students;

(c) nothwithstanding internal diversity, the 19 multi-campus community college districts have achieved comparable transfer rates to senior institutions;

Commission proponents of the 40/60 policy have cited several trends to substantiate their conclusion about the decline in the transfer function:

- From 1975 (when UC achieved 40 percent lower division enrollment) to 1985, the number of community college students who transferred to UC declined from 8,002 to 4,931;

- A majority of the 106 community colleges transfer less than 25 students per year to UC;

- From 1975 to 1985, first-time freshman enrollment at UC rose from 16,714 to 19,965;

Commission proponents of the 40/60 policy fail though to examine and disaggregate, when appropriate, statistical data relevant to a full understanding of current transfer rates.

Between 1975 and 1985, the percentage of California high school graduates enrolling as first-time freshman increased from 5.3% to 7.7%, (a net increase of 2.4%). Meanwhile, during the same period, the percentage of California high school graduates enrolling as first-time freshman at the Community Colleges dropped from 43.1% to 33.0%, (a net decrease of 10.1%). It is unreasonable to attribute the decline in first-time freshman enrollment at the community colleges to the increase in first-time freshman enrollment at UC. Proponents of the 40/60 policy ignore the 14% decline in the number of California high school graduates between 1975 and 1985.

Parttime student enrollment in the community colleges has grown rapidly since the mid-1970's. The community college statistical data base is inadequate to track the progress of parttime community college students who may be enrolled in transfer education courses.

Therefore, for the purposes of this memorandum, it is necessary to compare and examine the number of community college transfers to the enrollment of fulltime community college students by district and/or campus.

It is significant to note that, from 1975-76 to 1985-86, the transfer rates to UC and CSU as a proportion of high school graduates who entered community colleges two years earlier as first-time freshmen remained relatively stable. Table 1 below indicates that, notwithstanding the decline in the number of first-time freshmen enrolled at the California Community Colleges, the overall transfer rate as a proportion of high school graduates who entered community colleges two years previous was 51% in 1985-86.

Table 1
Community College Transfer Rates to UC & CSU

Year	Total Transfers to UC & CSU	First-Time Freshman Enrollment at CCs	Transfers as % of H.S. Grads Entering CCs 2 years Previously
1974-75		119,652	
1975-76	60,919	126,689	51.2%
1976-77	58,353	120,702	48.8%
1977-78	57,551	123,561	45.4%
1978-79	53,623	117,511	44.4%
1979-80	51,975	117,269	42.1%
1980-81	52,077	116,518	44.3%
1981-82	50,061	109,557	42.6%
1982-83	50,537	113,816	43.4%
1983-84	51,031	98,310	46.6%
1984-85	50,733	93,521	44.6%
1985-86	50,400		51.3%

In the effort to review all relevant transfer data, much of the data generated by UC, CSU, and the Community Colleges were not necessarily comparable or complete. For example, UC transfer data, as issued by the UC Office of the President and published in CPEC's Conflicts in State Policies Governing Undergraduate Enrollment in California's Public Universities, does not include community college transfers that occur during the Spring Semester. CSU releases "full year" transfer data, but UC does not.

Therefore, in order to analyze and assess the transfer rates achieved by the 106 community colleges, this memorandum refers to the number of community college students who transferred to UC, CSU, and independent colleges and universities during Fall 1986. Furthermore, this memorandum compares these Fall 1986 transfers to 1985 fulltime student enrollment at the community colleges.

(Please note that, while I obtained 1985 fulltime student enrollment data for an entire district, I was unable to obtain fulltime student enrollment data for individual colleges within a multi-college district.)

This memorandum categorizes the 106 community colleges by the number of transfers to UC achieved during Fall 1986: 100+, 70-99, 40-69, 11-39, 0-10.

In Fall 1986, a total of 4,858 community college students transferred to UC. An additional 5,832 community college students transferred to independent colleges and universities during the same period. A total of 10,690 community college students transferred to UC and independent colleges during Fall 1986.

Each of the top 14 community colleges had 100+ students transfer to UC. Please see Table 2.

Table 2
100+ Transfers to UC

	No. of 1985 Fulltime	% of FTE Students to	Number of Fall 1986 Transfers to			Total Fall 1986	% of all transfers
College	Students	All Students	UC	CSU	Indep.	Transfers	to FTE
Cabrillo	2,941	29%	151	253	23	427	15%
Orange Coast*			207	802	167	1176	
Diablo Val.*			242	767	109	1118	
El Camino	6,093	25%	143	740	173	992	17%
De Anza*			139	623	87	849	
Foothill*			117	379	85	581	
Am. River*			113	667	196	976	
Pasadena	5,965	26%	123	625	155	903	15%
Saddleback*			132	463	194	789	
S.D. Mesa*			138	483	245	866	
San Fran.	6,850	31%	105	808	97	1010	15%
Santa Barb.	3,270	32%	227	209	53	489	15%
Santa Mon.	5,155	22%	253	493	125	871	17%

(* See Table : Multi-College Districts)

These community colleges with 100+ transfers to UC share certain characteristics. Fulltime student enrollment at each college constitutes approximately 25% of all students enrolled. Approximately 16% of fulltime students transferred to four-year institutions.

In order to assess the transfer rates of the 92 community colleges that had fewer than 100 transfers per year, this memorandum will use the "25% fulltime students" of all students enrolled to test whether a community college has maintained a critical mass of transfer students. If a community college achieves at least 80% of the "25% fulltime student" or 20% fulltime students, this memorandum deems that community college to be in an acceptable range of having achieved a critical mass of transfer students and to have maintained a "transfer function" focus.

Further, this memorandum will use the "16% transfers" of all fulltime students enrolled to test whether a community college is succeeding to transfer students to the four-year institutions. Similiarly, if a community college achieves at least 80% of the "16% transfers" or 13% transfers, this memorandum deems that community college to be in an acceptable range of transferring its students to the four-year institutions.

Community colleges that had 70-99 students transfer to UC demonstrate the same characteristics as the top 14 community colleges. Please see Table 3.

Table 3
70-99 Transfers to UC

College	No. of 1985 Fulltime Students	% of FTE Students to All Students	Number of Fall 1986 Transf to UC	CSU	Indep.	Total Fall 1986 Transfers	% of all Transfers to FTE
Sacto City*			93	505	104	702	
Palomar	3,743	24%	70	322	160	552	15%
Riverside	2,887	22%	94	292	39	425	15%
S.J. Delta	4,364	30%	74	494	145	713	16%
San Mateo*			83	575	70	728	
Santa Rosa	4,682	22%	83	662	45	790	16%
Chabot	4,261	29%	81	535	71	687	16%
West Valley*			74	587	36	697	

(See Table : Multi-College District)

These community colleges with 70-99 transfers to UC match the top 14 community colleges in the percentage of fulltime students transferring to four-year institutions. All of these community colleges are within the 80% range of a 25% fulltime student enrollment.

Palomar and San Joaquin Delta transfer more students to independent colleges than to UC. Evidently these two community colleges have developed a strong transfer relationship with an independent college.

Sacramento City, San Mateo, Santa Rosa, Chabot, and West Valley have a strong transfer relationship respectively with CSU Sacramento, San Francisco, Sonoma, Hayward, and San Jose.

Community colleges with 40-69 transfers to UC also perform within an acceptable range of the top 14 community colleges. Please see Table 4 below (which includes only single-college districts). (Multi-college campuses each with 40-69 transfers are included in Table : Multi-college District.)

Table 4
40-69 Transfers to UC

College	No. of 1985 Fulltime Students	% of FTE Students All Students	Number of Fall 1986 Transfers to UC	CSU	Indep	Total Fall 1986 Transfers	% of all Transfers to FTE
Glendale	3312	19%	55	376	75	506	15%
Long Beach	5772	24%	44	478	85	607	11%
Mont. Penin.	1558	20%	61	153	45	259	17%
Mt. San Ant.	5528	20%	51	560	57	668	12%
Rancho Sant.	3597	17%	44	337	89	470	13%

Three of the five community colleges with 40-69 transfers to UC are within the range of 25% fulltime students. The same number is also within the range of 16% fulltime students transferring to four-year institutions.

Over 50 percent of the single-college district with 11-39 transfers to UC also achieve the necessary critical mass of transfer students and the percentage of fulltime students transferring to the senior institutions. Please see Table 5 (which includes only single-college district with 11-39 UC transfers).

Table 5
11-39 Transfers to UC

College	No. of 1985 Fulltime Students	% of FTE Students to All Students	Number of Fall 1986 Transfers to UC	CSU	Indep	Total Fall 1986 Transfers	% of all Transfers to FTE
A. Hancock	1862	16%	24	146	24	194	10%
Antelope	1343	19%	18	108	15	141	10%
Cerritos	4090	22%	30	427	71	528	13%
Chaffey	3497	32%	26	276	36	338	10%
Citrus	2400	26%	26	240	55	295	12%
Coachella	801	14%	16	128	80	224	28%
Ohlone	1985	26%	33	201	25	259	13%
Gavilan	984	33%	14	101	7	122	12%
Hartnell	1699	26%	28	145	22	195	11%
Mira Costa	1188	15%	28	87	147	262	22%
Napa	1407	20%	23	141	16	180	13%
Rio Hondo	2836	24%	24	268	44	336	12%
Cuesta	2248	37%	22	196	24	242	11%
Canyons	1066	29%	15	142	19	176	17%
Shasta	2495	31%	21	245	16	282	11%
Sierra	2720	28%	36	335	45	416	15%
Solano	1884	21%	39	163	37	239	13%
Southwest.	2988	30%	36	222	417	675	23%
Victor V.	863	17%	12	74	1	87	10%
Yuba	2273	28%	23	213	32	268	12%
Mt.San Jac	689	28%	14	62	7	83	13%

16 of the 22 single-college districts with 11-39 UC transfers reach the acceptable range of 25% fulltime students. 50% of these colleges also achieve an acceptable rate of fulltime students transferring to the four-year institutions.

Both Mira Costa and Southwestern have significant transfer track records with four-year independent colleges and universities.

Even though the size of the fulltime student enrollment of these community colleges is substantially less than the fulltime student population of the top 14 community colleges, these community colleges with only 11-39 UC transfers manager to significant percentage of transfer students and move them onto the senior institutions.

Community colleges with 0-10 UC transfers are largely in rural and Central Valley areas with commensurate, small student enrollments. Central Valley community colleges send most of their transfers to CSU because of the absence of a UC campus in that region of the State. Please see Table 6 (which includes only single-college district).

Table 6
0-10 Transfers to UC

College	No. of 1985 Fulltime Students	% of FTE Students to All Students	Number of Fall 1986 Transfers to			Total Fall 1986 Transfers	% of all Transfers to FTE
			UC	CSU	Indep		
Barstow	405	23%	2	25	11	38	9%
Butte	1739	25%	7	223	17	347	20%
Compton	1165	31%	6	88	13	107	9%
Imperial V.	1631	46%	10	107	16	133	8%
Lake Tahoe	183	12%	5	18	7	30	16%
Lassen	694	35%	1	61	6	68	10%
Mendocino	404	13%	2	58	7	67	17%
Merced	2388	32%	9	237	26	274	11%
Palo Verde	181	25%	1	2	40	43	24%
Redwoods	1605	20%	7	196	16	219	14%
Siskiyou	624	23%	9	50	2	61	10%
West Hills	616	29%	0	49	6	54	9%
Taft	358	27%	4	47	1	52	15%

11 of these 13 community colleges reach, if not exceed, the acceptable range of fulltime students. Over 50 percent of these colleges achieve the acceptable range of sending their transfer students onto the senior institutions.

It is worthwhile to note that Butte, Merced, and Redwoods send an overwhelmingly majority of their transfer students respectively to CSU Chico, Stanislaus/Fresno, and Humboldt. There is no UC campus located nearby in these regions.

In spite of its small student body, Palo Verde has succeeded to transfer a significant percentage of its fulltime students to independent colleges.

In spite of differing transfer rates among colleges within a multi-college district, virtually all of the 19 multi-college districts as a whole match the percentage of fulltime student enrollment and transfer rates at the top 14 community colleges.

There are 55 community colleges which belong to a multi-college district. Of these 55 community colleges, 28 were established after 1960, in response to growing needs in largely suburban areas. Please see Table 7.

Table 7
Multi-College Districts

College District	No. of 1985 Fulltime Students	% of FTE Students to All Students	Number of Fall 1986 Transfers to UC	CSU	Indep	Total Fall 1986 Transfers	% of all Transfers to FTE
Coast Coastline Golden West Orange	10667	21%	278	1264	281	1823	17%
Contra Costa Contra Costa Diablo V. Los Medanos	8151	28%	276	968	148	1392	17%
Foothill-De Anza De Anza Foothill	9371	23%	256	1002	172	1430	15%
Grossmont Cuyamaca Grossmont	4660	27%	66	451	257	774	17%
Kern Bakersfield Cerro Coso Porterville	3817	23%	42	459	501	44	14%
Los Angeles East LA LA City LA Harbor LA Mission LA Pierce LA Southwest LA Trade-Tech LA Valley West LA	25021	27%	268	2197	371	2836	11%

Los Rios Am. River Consumnes Sacto City	9422	25%	244	1335	340	1919	20%
Marin College of Marin Indian Valley	1915	26%	70	262	31	363	19%
North Orange Cypress Fullerton	7602	26%	102	1001	130	1233	16%
Peralta Alameda Feather R. Laney Merritt Vista	5816	21%	130	440	138	708	12%
Saddleback Irvine V. Saddleback	2991	13%	157	492	194	843	28%
San Bernardino Crafton Hills S. Bernar.	3211	24%	35	348	47	430	13%
San Diego S.D. City S.D. Mesa S.D. Miramar	10301	29%	182	741	431	1354	13%
San Jose Evergreen S. Jose	4042	24%	35	349	45	429	11%
San Mateo Canada San Mateo Skyline	6865	23%	121	867	128	1116	16%

State Center Fresno City Kings River	6069	36%	23	802	67	892	15%
Ventura Moorpark Oxnard Ventura	6946	26%	190	669	90	949	14%
West Valley-Mission Mission West Valley	5167	24%	90	714	40	844	16%
Yosemite Columbia Modesto	3253	25%	26	448	34	508	16%

With the exception of Saddleback Community College District, all the other multi-college districts have a significant percentage of fulltime students. Other than Los Angeles, San Jose, and Peralta districts, the 16 other multi-college districts send at least 13% of their fulltime students to four-year institutions.

Los Angeles, San Jose, and Peralta districts serve regions with large minority populations. In order to achieve access for low income and underrepresented minority students in urban areas, the Commission erred in not giving due consideration to the Report of the Intersegmental Policy Task Force on Assembly Concurrent Resolution 83. It is vital to note that said Report make no mention or reference whatsoever to 40/60 as a possible strategy to enhance access for underrepresented minority students.

Clearly the State should consider budgetary support for the community colleges to conduct significant outreach at junior and high schools in minority urban areas where students have little hope or support to proceed onto postsecondary education. The State must provide adequate financial aid to students-at-risk to attend fulltime at the community colleges so as to counteract the understandable pressures to secure a job. The community colleges have the challenging task to arrest the decline in first-time freshman enrollment at the community colleges by reaching deep into the urban areas.

The 1960 Master Plan created a three-tier postsecondary education system to improve academic standards. UC or CSU would commit a serious error if it does not honor its historic commitment to admit every UC or CSU-eligible high school graduate. The school reform movement has called on every student to excel in academic studies and to maximize his/her academic potential. UC-eligible students face the distinct possibility that, no matter how hard they may study to be eligible, they may be rejected by UC for redirection.

The Master Plan Renewed is deficient in not recognizing the need to establish incentives for UC eligible students to attend community colleges for lower division education in the first instance. The CPEC survey of 1983 high school graduates during May 1984 indicates convincingly that UC eligible students are very aggressive to select California and out-of-state independent universities and CSU as an alternative to enrollment at a UC campus.

Above and beyond support for the Special Admissions Program, Recommendation #3 provides in part: "In determining eligibility and selection, both segments shall consider criteria and procedures that recognize skills, talents, knowledge, and the procedures for success and shall advise prospective applicants and school counselors of those criteria." Said provision, if adopted, will open Pandora's box for the institutionalization of subjective criteria in admissions policies and practices by UC and CSU. Based on recent documented admission practices of major public and private universities across the country, Asian American students face the distinct possibility of being adversely affected by the imposition of subjective criteria in the admissions process at the four-year institutions.

Recommendation #5
Community College Governance

The Commission expended considerable public funds to retain Messrs. Frank M. Bowen and Lyman A. Glenny to study and make recommendations to improve governance of the Community College System. The Commission has erred in completely disregarding many sound recommendations of the Bowen/Glenny Report to create a Community College System and to improve governance by the Board of Governors.

The proposed unified state-local system, while recognizing that there are local districts, does everything possible to ignore the historic contributions of locally-elected district boards and their ability to assess and respond to local needs. The Commission should not treat the locally-elected district boards as impediments or adversaries in enhancing governance by the Board of Governors.

The confirmation of local chief executive officers is wholly unworkable. The incumbent Chancellor of the Community Colleges has stated repeatedly that there is no need for the Board of Governors or the Chancellor to engage in "micro-managing" of the 70 community college districts. Said proposal will create unnecessary organizational conflicts and tensions.

Recommendations #2 and #25
Non-credit instruction

The Commission fails to recognize the importance of non-credit instruction for the hundreds of thousands of Californians, especially immigrants and refugees and minority groups, who need non-credit instruction to survive and be productive citizens in a competitive society. Functional illiteracy among many California adults needs to be arrested. Without having to lose their focus on the transfer function and vocational education, the community colleges are well-placed to provide non-credit instruction to adults in need.

Recommendation #1
California Education Round Table

The Commission has proposed significant tasks and responsibilities to the California Education Round Table. Because of the importance of said tasks and responsibilities, voluntary aspect of the California Education Round Table does not provide sufficient guarantees that the chief executive officers of the postsecondary education institutions will work together to solve the major problems and barriers confronting California's postsecondary students. Membership of the California Education Round Table should be mandatory; meetings of the California Education Round Table should comply with provisions of the Brown Act.

Recommendation #8
Graduate Students and Faculty Members

While I agree with the intent and provisions of Recommendation #3, the recommendation should not make a distinction between "minority" and "underrepresented minority". Recent data issued by UC indicates that Asian American applicants for graduate education are being admitted at a much lower rate than white applicants in many graduate fields. UC needs to review what standards are being applied in assessing the qualified pool of minority applicants with baccalaureate degree apply for graduate education.

In closing, I want to express my appreciation for the healthy dialogue established in the Commission's deliberations. While I do not concur with the final report, I have enjoyed the opportunity to serve with many distinguished citizens to enhance postsecondary education in our state.

Sincerely yours,

Henry Der
Executive Director

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July 27, 1987

Mr. J. Gary Shansby, Chairman
Commission for the Review of the
Master Plan for Higher Education
1215 Fifteenth Street, Second Floor
Sacramento, California 95814

Dear Gary:

Thank you for providing me with this opportunity to express a few disagreements and concluding thoughts on "The Master Plan Renewed" and the process that led to its adoption.

The comments that follow should not be misinterpreted as general disagreement with our process or report, which I voted to adopt and generally endorse. I am particularly pleased with the recommendations designed to increase the representation among the students and faculty of underrepresented segments of our diverse society, the recognition that educational quality suffers from increased student-faculty ratios and excessive use of part-time faculty, and the Commission's warning to the public that we can maintain educational opportunity and quality only through the repeal or modification of Article XIII(B) of the State Constitution--the Gann Limitation.

Community College Governance

The Commission's focus upon improving the quality of education in the community colleges was both useful and necessary; changes in governance in that system are no doubt required to achieve that end. I agree with the thrust of the report's recommendations urging a strengthening of the powers and authority of the Board of Governors of the California Community Colleges so as to enable the Board of Governors to better represent the community colleges before the Legislature and to establish and enforce statewide programs and policies.

However, I believe the Commission has gone too far in recommending that the Board of Governors have primary responsibility with respect to academic and financial administration of the colleges, whereas the district governing boards will have only such responsibilities in these areas as are delegated to them by the Board of Governors. Thus, I dissent from recommendation no. 5 and supplemental recommendation no. 3.

My dissent stems from both policy and practical disagreement. I supported options debated among us that would have permitted the Board of Governors and the Chancellor to review the academic and financial administration of the colleges and require the establishment of uniform policies and programs, with the added option of temporarily taking over the operation of a district in an appropriate case where mismanagement so required. But the governance structure recommended in our final report relegates local governing boards to an insignificant status and deprives them, in cases where local governance works well, of fulfilling their proper function in responding to the particular educational and program needs of their community, needs which differ by region and demography. Further, the report fails to identify how the new governance structure would work in practice at the local governing board level, and I fear that a system which calls for the election by the community of a board which is then given only such authority over academic and financial management and policy as an appointed statewide board deems appropriate is destined to fail. Rather than promote unity, this new structure is likely to promote antagonism between the community and Sacramento. The local governing boards are likely to be viewed and treated as unwanted appendages, and they will likely rebel.

Pilot Programs of Rolling Contracts for Community College Faculty

The recommendation (no. 16) that the Board of Governors develop pilot programs of rolling contracts for community college faculty was first adopted in the "Challenge of Change," prior to my appointment to the Commission. Had I been present at that time, I would have pointed out that:

(1) The colleges use part-time faculty for purposes of salary and benefit savings (they pay them at lower rates and do not provide most fringe benefits) and flexibility in regard to time of course offerings, not flexibility in regard to the avoidance of tenure;

(2) The colleges already have a quick, efficient mechanism under the Education Code for the avoidance of tenure where the concern is declining enrollment or reduced interest in particular course offerings--layoff;

(3) Rolling contracts will, therefore, provide no benefit to the colleges or the part-time faculty. The colleges will still have an incentive to use the cheaper, part-time faculty, and the part-time faculty will have no greater leverage in escaping the multiple appointments trap;

(4) The only outcome of the pilot program will be to permit colleges to lengthen the probationary period, or avoid tenure completely, for those faculty hired under rolling contracts. The colleges will have every reason to hire persons who otherwise would have been given probationary status under rolling contracts instead, thereby providing a lengthier, no-strings-attached opportunity for the colleges to evaluate new faculty.

In short, I dissent from recommendation no. 16 because I am not in favor of unlimited probationary periods. Rather, I support the traditional method used in our society to select higher education faculty and guarantee that those selected will have freedom to teach without interference resulting from managerial whim or political interference and with sufficient economic security to make the profession attractive to men and women of ability: tenure awarded upon satisfactory completion of a reasonable probationary period.

The Commission's Process and Composition

With the clearer vision that comes only from hindsight, and without any motive to criticize the Governor, the Legislature, the Commission, or its staff for the less than clear vision that necessarily comes with foresight, I offer the following thoughts on the Commission's composition and process.

We are a "blue ribbon" commission composed primarily of lay persons not chosen to represent a higher education constituency. Blue ribbon, lay commissions serve a useful purpose in our society when properly directed to provide an external, impartial citizens' perspective on matters of social policy. Often, only lay "outsiders" can ask the probing questions and make the significant criticisms that our institutions periodically require.

Institutionally-based, expert commissions also have their place in our society, especially where a commission's task is to promote segmental cooperation and financial and administrative efficiency or to undertake research designed to inform public policy discussions. Such a commission was the group that created the 1960 Master Plan.

We tried, as a blue ribbon commission, to assume the role of the institutionally-based, expert commission. We should have set out to identify a handful of significant issues in higher education and contented ourselves with asking probing questions and making appropriate criticisms and recommendations. Instead, we set out to undertake a comprehensive revision of the 1960 Master Plan, recognizing much later that we had assumed to great a burden.

Some of our recommendations would have benefitted from segmentally-directed study and debate. The prime example, in my view, is the community college state-local governance recommendation, from which I dissented. I believe a more workable and better policy would have been achieved through discussions in which the competing constituencies were the "insiders" in the debate. In our process, they were necessarily viewed as "outsiders."

Other recommendations would have benefitted from research and statistical surveys among the segments. Again, I offer as an example a recommendation from which I dissented--rolling contracts for faculty. We had no empirical data to suggest a need for such a program and we failed even to think through its consequences. The same lack of data exists with regard to other recommendations I support, namely, reductions in excessive faculty student-faculty ratios in the California State University and the improvement in the quality of undergraduate education in the University of California. Input from and research directed by segmental representatives having "insider," rather than "outsider" status would have corrected some of those shortcomings.

In light of our composition, the scope of our delegated tasks, and the small, albeit able and dedicated, staff we had available to us, we were unable to make the best case possible for some of our most important recommendations. In many of those areas, the creation of an institutionally-based, expert commission would have been preferable. In short, I recommend that in the future the Governor and the Legislature refrain from simply choosing either a blue ribbon, lay commission or an institutionally-based, expert commission. Each has its proper place and function; neither is sufficient by itself for all purposes.

Finally, please do not mistake these thoughts for regret. They are, I believe, a proper part of our function in fully informing the Governor and the Legislature concerning our processes. On balance, I am satisfied with the report and enjoyed the experience of serving on the Commission. Congratulations to you, our fellow Commissioners, and our Executive Director and staff.

Very truly yours,

Glen Roth

Glenn Rothner

GR:mc

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Harold M. Williams, President and Chief Executive Officer

July 21, 1987

Mr. J. Gary Shansby
Chairman
Commission to Review the Master Plan
1215 Fifteenth Street
Sacramento, California 95814

Dear Gary:

With the issuance of "The Master Plan Renewed" the Commission completes its mandate to assure the vitality of higher education in California into the next century. You, Executive Director Kerschner and the Commission staff are to be commended for the leadership in what has been accomplished over the past two and a half years. By placing the objective of strengthening the Community Colleges at the forefront of this State's policy agenda, the Commission has made a particularly significant contribution to the future of California higher education. I can assure you and the Commission of the University's full support of the essential and critical efforts to ensure the revitalization of the Community College transfer function.

It does seem to me necessary, however, to state my understanding of the section of our report dealing with "A Unified Admissions and Transfer System." The text quite correctly makes the point that neither UC nor CSU achieved compliance with the 1960 Master Plan's goal of 40/60 ratio of lower division to upper division students by turning away eligible students. Rather, students chose to attend the Community Colleges and then to transfer. The University has consistently maintained a commitment, with the required budgetary support of every governor and legislature, to offer a place somewhere within the University system for every eligible student wishing to enroll at UC.

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While this commitment is not as clearly acknowledged in the text as it might be, I support the Commission's recommendations for strengthening the transfer function, which in our report now links together the three critical elements of this process:

(1) the legislature's willingness to fund transfer education at an appropriate level

(2) the Community Colleges' ability to attract students by delivering quality transfer education

(3) the University's ability to attract and accept Community College transfers as upper division students.

It would be impossible for the University to reduce its percentage of lower division enrollments without this linkage effectively in place or, alternatively, denying admission to UC eligible applicants.

I can assure you that the University stands committed to working with the Community Colleges to improve and facilitate the transfer function. I will recommend to my fellow Regents their full support of the Commission's report provided that the University is not expected to abandon its historic commitment to admit all UC eligible students wishing to enroll.

It has been a pleasure to participate on the Commission to Review the Master Plan.

Very truly yours,

Harold M. Williams

HMW:bam

END

U.S. Dept. of Education

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Date Filmed

March 29, 1991